



PEARSON NEW INTERNATIONAL EDITION

Conflict Management: A Practical Guide  
to Developing Negotiation Strategies

Barbara A. Budjac Corvette

First Edition

# Pearson New International Edition

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# Defining Negotiation and Its Components

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To understand the definition and magnitude of negotiation
- To understand that there are limits to what is negotiable
- To identify the components of negotiation performance
- To identify the steps necessary to develop your effective personal negotiating power

**“All  
the world’s  
a stage.”**

*William Shakespeare*

From *Conflict Management: A Practical Guide to Developing Negotiation Strategies*. Barbara A. Budjac Corvette. Copyright © 2007 by Pearson Prentice Hall. All rights reserved.

## ALL HUMAN INTERACTION IS NEGOTIATION

Whatever the nature of your business, profession, or current pursuits, you encounter conflict and you negotiate. Life is filled with human interaction and human interaction is essentially a negotiating arena. Other people influence our emotions and behavior, and we influence the emotions and behavior of others. We participate in a continuum of perceiving others and forming attitudes toward people, things, and concepts while others are perceiving and forming attitudes about us.

In the course of our daily business, professional, and personal lives, we regularly seek to affect the attitudes and behavior of others. At times we seek approval, recognition, or affection. At times we seek to cause action by others. At times we seek to gain the right or privilege to take certain actions ourselves. At times we seek to obtain money or other tangible value. In our interactions with friends, family, clients, employees, employers, contractors, service providers, professionals, merchants, and business associates, we use information and knowledge to get what we want. Negotiation is that process of influencing others in order to get what we want.

We negotiate much more often than we may realize. Effective, ethical negotiation is not intimidation, nor is it chiseling or trickery. Rather, effective negotiation is using knowledge of self and others combined with analysis of information and time, thereby tapping the power to affect behavior. The application of that knowledge and information comprises the personal power to win in any negotiation. In effective, ethical negotiation, both sides win. That concept is merely a restatement of the business tenet that it is not a good deal unless it is a good deal for all sides.

It is, perhaps, easiest to accept the notion in the foregoing and come to a definition of negotiation by further considering what negotiation is not. Negotiation is not a game. Negotiation is not always a formal process nor in a formal setting. Negotiation is not limited to business transactions. Negotiation is not conducted solely for tangible things we can see and touch. Negotiation is not simply using power-over tactics—shouting louder or bullying better. Negotiation is not a prescribed set of universally applicable maxims or precepts. That having been said, however, it must be noted that power-over tactics are sometimes used in ostensible negotiation; and, there are indeed, rules and customs often observed in negotiation.

**Negotiation** is the process of interacting with the goal of obtaining agreement or the result you desire.

### KEY TERM

Negotiation is an effort to influence or persuade.

## Defining Negotiation and Its Components

It is an interpersonal skill that is not the province of any particular profession. However, it is extremely important to personal interaction, business and organizational management success, and leadership.

Negotiation is an art. Negotiation may also be considered scientific—having principles and methods that are used systematically through training and experience. Many people believe that negotiation is difficult and that it is just easier to avoid it or always compromise their desires. Others believe that if someone would just tell them the rules they could be effective! There are few universally applicable rules. The rules that do exist provide only general guidelines that must be applied to specific circumstances and specific individuals.

Negotiation is complex and interdisciplinary. It encompasses conflict assessment, management, and resolution. Negotiation is complex primarily because it happens between human beings! Above all, negotiation is personal and individual. It is subject to, understood, and effectuated by the same psychological and sociological principles and theories that govern social interactions generally. Once one understands the application of those principles, negotiation becomes much less complex and intimidating.

After understanding what it is, it is easy to see the magnitude of negotiation. Every day in all aspects of our lives we negotiate. Think of one time today when you tried to influence someone. Perhaps it was a family member. Perhaps it was a coworker. Perhaps it was your boss. Perhaps it was a stranger. You may have tried to cause someone to behave in a particular way. You may have tried to cause someone to think in a particular way. If so, you were negotiating. Do you recall a time when you wanted someone to think you not rude? If you attempted to affect that person's opinion—to have them agree with your self-perception—you were negotiating.

As human beings we seek psychological consistency and balance. We want things to make sense. We want our way. We want to be satisfied. While there is much to explore in that vein, it will suffice for this chapter to understand that the conflict inherent in the need for psychological consistency triggers attempts to influence. That is, it triggers the need or opportunity to negotiate. Have you ever considered that life would be simple but for human beings?

The pervasiveness of negotiation underscores its importance. The good news, however, is that you have ample opportunity to apply what you learn about negotiation. You may—and should—practice every day. Improving your interactions generally will also improve your negotiation effectiveness.

---

**KEY CONCEPT**

All interaction is negotiation.

## THE PERSONAL NATURE OF NEGOTIATION

The heart of negotiation may be said to be the heart of the individuals involved. What is commonly referred to as the heart is usually what makes negotiation feel difficult. Our emotions, temperament, disposition, and other aspects of our personalities give each of us unique needs, interests, goals, and perspectives. Our needs and desires invoke our ego and our self-concept as well as our fears. These attributes, or phenomena, are actually based in the brain, of course.

It is not uncommon for people to believe that they negotiate effectively on behalf of others while not doing so well for themselves. Why the difference? We may say the heart or, more appropriately, the ego is the difference. It is, to a great extent. However, it is probable that if we are ineffective as our own advocates, we are probably not performing at our maximum effectiveness for others either. Once you learn to understand yourself, you will get to the heart of negotiating. It will take some effort but your results will be satisfying.

### HOT TIP!

Practice negotiation in personal settings.

## NOT EVERYTHING IS NEGOTIABLE

It seems common to hear that everything is negotiable. Well, that is just not true! Would you sell your child or your pet? Would you compromise the health of your child or your pet? If you said, "No," then you see that, contrary to popular statements that everything is negotiable, it is *not*! If you said, "Yes," then recognize that negotiation requires a minimum of two people and that your counterpart is likely to hold some things to be nonnegotiable. If your reaction here is that these examples are extreme, ponder the issue further. If one has no values, beliefs, or options, then everything might be negotiable. The key here is to identify your personal ethics, moral code, and values as you consider negotiation options.

In addition to those abiding factors, each potential negotiation must be analyzed to determine whether or not the matter *should* be negotiated. If there is not a potential for a **mutual beneficial exchange** that leaves the parties better off than *not* negotiating, then the matter should *not* be negotiated. This principle should become clear as you proceed through your study of negotiation and begin to prepare for each negotiation.

### KEY POINT

Identify alternatives prior to negotiating.

## **CONSCIOUS AND UNCONSCIOUS DETERMINANTS OF YOUR NEGOTIATION PERFORMANCE**

Facts and circumstances, including relative power, as well as time constraints, of course, affect negotiation options and outcomes. However, our human interaction is affected by who we are and with whom we interact. Personality and temperament, values and beliefs, perception, attitudes, style of learning, motivation, way of thinking, style of communication, approach to conflict, fears, and much more determine who we are in any human interaction. We are shaped by our experiences. We often unconsciously adopt the attributes of significant others in our life. Each one of us has a unique combination of attributes that serve as the base for our personal power.

We are not always conscious of these attributes and characteristics or the other factors inherent in negotiation. We must know who we are if we are to use our strengths. We must know who we are if we want to consciously develop the attributes we desire. We must also be aware of certain psychological phenomena that may cause us to believe things that are not so. Sometimes we suffer from distortions in our perceptions and thinking that cause us to miss opportunities and make poor choices in negotiation.

## **WHAT YOU DO NOT KNOW WILL HURT YOU**

In addition to causing poor choices, what we do not know can hurt us in other, more subtle ways. Even if we are not conscious of our everyday negotiation interactions, we develop patterns and habits. We are also subject to what is called *social learning* (Bandura 1977). We learn both by observing and doing. In the negotiating arena, this can mean that we imitate the behaviors of those with whom we have negotiated previously. We are particularly likely to adopt behavior exhibited by others that we view as generating a positive outcome for them.

Therefore, if you have often felt like the loser in prior negotiations, you may begin to utilize the same tactics that were used to gain an advantage over you. There are several problems associated with doing so. Feeling like a loser reflects a competitive, gamelike, or win/lose approach. While that is one of the four approaches available for negotiation, it is usually the most inappropriate and ineffective one. Perhaps you felt like your prior

## Defining Negotiation and Its Components

negotiations were fair for both sides and you, therefore, have fallen into a pattern of compromising. While such an approach is not competitive, it, too, is not usually the most appropriate or effective approach. Perhaps you have been met in the past with individuals unwilling to negotiate and now you find yourself falling into a pattern of avoidance. Obviously, you cannot get what you want unless you try.

Another problem in copying the negotiating behavior of others is that you are a different person and those tactics may not work well for you. The tactics may actually be inappropriate but worked on you for any number of reasons—lack of preparation, lack of confidence, fear, the particular situation or circumstances, to name a few.

These patterns are difficult to change. Until we become conscious of our self and our actions, we cannot assess the extent of our effectiveness. Our level of experience is irrelevant to this quest. A person who has been negotiating formally for twenty years is not necessarily being effective. She may have been making the same mistakes for twenty years! If we get different results for others than for ourselves, we need to examine why.

### **COMPONENTS OF NEGOTIATION PERFORMANCE**

The components of negotiation performance, then, include personality, approach, style, temperament, perceptions, interests, goals, needs, values, and powers—of all parties involved. Additional components include the substantive issues, the nature of the conflict, the effects of the conflict, and the alternatives for all parties involved. Components also include the persuasive abilities of all parties involved.

### **HOW TO DEVELOP YOUR EFFECTIVE PERSONAL NEGOTIATING POWER**

Knowledge of human behavior is essential to achieving effective negotiation skills. Effective negotiation requires knowledge of self in all of the aspects noted in the preceding subsections as well as knowledge of others. You must know yourself before you may know or understand others. You must become aware of your thought patterns and how they affect your goals and behaviors. You must become aware of your behaviors and how you are perceived

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by others. You must also acquire knowledge of the nature of conflict, principles of communication and persuasion, and methods for gathering and analyzing information. Effective negotiation also requires critical thinking and creativity.

Psychological and sociological theories provide insight into how we know ourselves and others. The study of psychological and sociological principles combined with self-assessment and practice will guide you to increased effectiveness. Practice of your new knowledge on your own account—where your heart and ego are involved—will generate the greatest gain because it is there where you can discover who you are and your greatest fears. Since you negotiate every day, use those everyday experiences on your own behalf to apply your knowledge and practice your skills.

The study of principles of communication and persuasion combined with self-assessment and practice will guide us to increased effectiveness. The study of conflict combined with an assessment of our approach to conflict—and practice—will also guide us to increased effectiveness.

Critical thinking requires an inquisitive mind—asking why and how. It requires openness to options. It requires knowing oneself—one’s biases, prejudices, and beliefs. It requires challenging preconceptions and assumptions. It requires multifarious, empathetic, comparative, and integrative thinking. The effectiveness of and the mutual gain derived in a negotiation correspond with the level of creativity applied.

**“It is easier to be  
wise for others than  
for ourselves.”**

*La Rochefoucauld*

### **A GENERAL PLAN TO DEVELOP YOUR EFFECTIVE PERSONALIZED NEGOTIATION STRATEGIES**

Presented in the following list are fifteen steps that will enable you to use your personal negotiating power.

1. Practice critical thinking and empathy.
2. Study and understand key principles from psychological, sociological, communication, and conflict theories.
3. Know yourself.
4. Understand the dynamics of conflict.
5. Know major negotiation styles and temperaments and how to interact with each of them.
6. Communicate effectively, allowing for differing perceptions, biases, and prejudices.

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7. Acknowledge cultural and contextual expectations.
8. Understand the dynamics of power.
9. Identify interests and goals.
10. Be assertive.
11. Be persuasive.
12. Be thoroughly prepared and avoid common mistakes.
13. Use tactics that suit you and understand tactics used by others.
14. Know when to walk away as well as when and how to use third-party help.
15. Know how to evaluate your performance and target improvements.

After mastering these fifteen items, then you must—

Practice. Evaluate. Practice. Evaluate.  
Change?  
Practice. Evaluate. *Practice.*

## A BEGINNING

Start working on your critical thinking and self-knowledge by asking yourself the following two questions.

- What do I know?
- How do I know what I know?

**“To be absolutely certain about something, one must know everything or nothing about it.”**

*Henry A. Kissinger*

## Performance Checklist

- ✓ All human interaction is negotiation. Negotiation is the process of interacting with a goal and encompasses conflict management and resolution.
- ✓ Not everything is negotiable. Not everything should be negotiated.
- ✓ The components of negotiation include the individual personalities involved, interests, goals, needs, values, perceptions, power, substantive issues, alternatives, context, communication, and persuasion. What we do not know about ourselves and our habits may lessen our effectiveness and inhibit our development.
- ✓ Critical steps in becoming more effective in negotiation are to know yourself, understand the process of conflict and negotiation, control yourself, and do what feels natural for you. Developing personalized negotiation strategies requires

## Defining Negotiation and Its Components

critical thinking and creativity, self-assessment, study, application of knowledge, and practice.

### Key Terms, Phrases, and Concepts

Negotiation

Mutual Beneficial Exchange

Unconscious Determinants of Negotiation Performance

### Review Questions

Mark each of questions 1 through 5 as True (T) or False (F) and answer questions 6 through 10.

- T F 1. All human interaction may be considered negotiation.  
\_\_\_\_\_
- T F 2. Negotiation is an effort to influence. \_\_\_\_\_
- T F 3. Negotiation is an art and a science. \_\_\_\_\_
- T F 4. Everything is negotiable. \_\_\_\_\_
- T F 5. Everything should be negotiated. \_\_\_\_\_
6. Explain how and why negotiation is not subject to fixed rules or methods. \_\_\_\_\_
7. Why is your personal life a good place to practice building your negotiation skills? \_\_\_\_\_
8. How can your ego interfere with your negotiation performance? \_\_\_\_\_
9. What kinds of things or factors of which you may not currently be aware may affect your negotiation performance? Why? \_\_\_\_\_
10. List ten components of negotiation performance.  
\_\_\_\_\_

### Case 1

Assume that you own and operate a business. Your production this year was based on prior years' experience. You have been left, however, with 100,000 unsold units on hand. You have been selling your product at \$5 each and expected the same price for these 100,000 units. You have exhausted all avenues you can think of for disposing of your excess product. You do not have the storage capacity for keeping these units in inventory while you continue production.

## Defining Negotiation and Its Components

This morning a giant retail organization contacted you urgently seeking the type of product you produce to fill deficits in their supply. They offer to pay you \$3 per unit.

### **Case Discussion Questions**

1. How would you assess whether or not you should negotiate? Identify the factors you would consider and the overall rule you would apply.
2. What factors can you readily identify that will affect your negotiation options and outcomes?
3. What unconscious factors might also affect your negotiation performance?

Stephen Coburn/Shutterstock



# Personality

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn what comprises personality
- To learn key aspects of major personality theories most relevant to conflict, negotiation, and persuasion
- To assess key aspects of *your* personality

**“Thales was asked  
what was most  
difficult to man; he  
answered: ‘To know  
one’s self.’”**

*Diogenes*

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## Personality

In this chapter we review aspects of personality that relate to the dynamics of conflict, negotiation, and persuasion. Major personality theories are synthesized and presented for your use in self-understanding. First, we define personality and then proceed to specific characteristics that impact your negotiation behavior. You are urged to assess your personality relative to the factors and characteristics presented here. In this chapter you assess yourself.

### WHY IT IS IMPORTANT TO KNOW YOUR PERSONALITY

**“Every man has three characters—that which he exhibits, that which he has, and that which he thinks he has.”**

*Alphonse Karr*

People interact in negotiation. “Human interaction” may more appropriately be one word. It is difficult to separate the interaction from the people. Your negotiating success depends upon an accurate understanding of and use of your unique personality type and style of interaction as well as an accurate perception and understanding of others’ personality types and styles. Knowing yourself is a prerequisite to knowing others. Knowing yourself is also a prerequisite for tapping your personal power to maximize your effectiveness in any human interaction.

### DEFINING PERSONALITY: ONE SIZE DOES NOT FIT ALL

Personality may be described as the dynamic, developing system of an individual’s distinctive emotional, cognitive, and spiritual attributes. That definition purposefully does not *limit* personality to characteristic behaviors and/or thoughts, because there abound many perceptions of what should be deemed characteristic.<sup>1</sup> Nevertheless, we will be discussing matters in terms of characteristics.

<sup>1</sup> This definition also recognizes the predominant view on nature versus nurture—that personality is the result of a dynamic interaction among genes and environment (including the situation).

## Personality

There exist many schools of thought and approaches to analyzing personality. It is neither possible nor necessary to review personality exhaustively here. We address key portions of those theories most relevant to the dynamics of human interaction generally and negotiation particularly. We view personality from a human development perspective. Implicit in such a view is the recognition that personality changes (or can change) over the life span. You have the power and ability to develop traits, characteristics, and aspects of your self. Also implicit in such a view is that behavior occurs (or may occur) relative to circumstances. You may demonstrate varying aspects or characteristics of your personality in varying circumstances and/or with varying other people. Culture also affects development of certain personality characteristics. Having knowledge of these variations is a prerequisite to assessing the reasons and propriety for variations—and to changing your behavior.

### **FACETS OF PERSONALITY THAT AFFECT YOUR NEGOTIATION APPROACH AND TEMPERAMENT**

In this section we investigate key facets of personality that affect your interaction in negotiation: emotional stability; conscientiousness; locus of control; self-monitoring; competitiveness and types A and B; need for achievement, power, and affiliation; Machiavellianism; Jungian personality preferences of extroversion, introversion, cognitive processing style, and orientation to others; learning style; right-brain/left-brain dominance; creativity; charisma; and emotional intelligence.

Everyone possesses each of the facets and traits to some degree. You will find that some traits are similar to each other. You may even think that some describe the same trait or characteristic by a different name. Examining each of them will help you to find your personal negotiating style and power as well as help you to identify and develop into the negotiator you desire to be. You will likely find a balance in the combination of traits and characteristics you possess and exhibit. Your task here is to assess the relative strength of each in order to gain understanding of particular strengths and weaknesses in your interactions. As you study each section, try to honestly assess yourself. A profile form (Exhibit 1) is included for use in recording your self-assessments.

## Personality

### **EXHIBIT 1**

#### **Personal Profile of Negotiating Personality Attributes**

Personal profile of negotiating personality attributes.

|                               |                |                |                      |
|-------------------------------|----------------|----------------|----------------------|
| Emotional stability           | High _____     | Moderate _____ | Relatively low _____ |
| Conscientiousness             | High _____     | Moderate _____ | Relatively low _____ |
| Internal locus of control     | High _____     | Moderate _____ | Relatively low _____ |
| External locus of control     | High _____     | Moderate _____ | Relatively low _____ |
| Locus of control is primarily | Internal _____ | External _____ |                      |
| Self-monitoring               | High _____     | Moderate _____ | Relatively low _____ |
| Type A                        | High _____     | Moderate _____ | Relatively low _____ |
| Type B                        | High _____     | Moderate _____ | Relatively low _____ |
| Competitiveness               | High _____     | Moderate _____ | Relatively low _____ |
| Achievement need              | High _____     | Moderate _____ | Relatively low _____ |
| Personal power need           | High _____     | Moderate _____ | Relatively low _____ |
| Social power need             | High _____     | Moderate _____ | Relatively low _____ |
| Affiliation need              | High _____     | Moderate _____ | Relatively low _____ |

Among the need for achievement, personal power, social power, and affiliation, the strongest is:

|                                      |                     |                   |                      |
|--------------------------------------|---------------------|-------------------|----------------------|
| Achievement _____                    | Personal _____      | Social _____      | Affiliation _____    |
| Machiavellianism                     | High _____          | Moderate _____    | Relatively low _____ |
| Personal source of energy            | Extroverted _____   | Introverted _____ |                      |
| Preference for taking in information | Sensing _____       | Intuiting _____   |                      |
| Preference in rational functioning   | Thinking _____      | Feeling _____     |                      |
| Preference for external interaction  | Judging _____       | Perceiving _____  |                      |
| Primary learning style               | Accommodating _____ |                   |                      |
|                                      | Diverging _____     |                   |                      |
|                                      | Converging _____    |                   |                      |
|                                      | Assimilating _____  |                   |                      |
| Preference for activities utilizing  | Right brain _____   | Left brain _____  |                      |
| Creativity                           | High _____          | Moderate _____    | Fairly low _____     |
| Charisma                             | High _____          | Moderate _____    | Fairly low _____     |
| Emotional intelligence               | High _____          | Moderate _____    | Fairly low _____     |

Consistency check

Review your profile for sense and consistency. Note the following expected relationships:

- Accommodating learning style with sensing
- Assimilating learning style with intuiting
- Left-brain dominance and sensing and thinking
- Right-brain dominance and intuiting and feeling
- Right-brain dominance and creativity

## LEARNING THEORY AND ASSESSING YOURSELF

None of the characteristics should be viewed as good or bad but merely as different! As you assess yourself, try not to react to the particular terms used by theorists to identify various traits and attributes. Try to understand the nature of and behavioral impact of the personality facets. Also recognize that we each have a tendency to see ourselves as already possessing traits we admire and that we tend to dislike things about us that we have designated as wanting to change. Honesty is necessary.

Tests and scales have been developed for measuring most of the facets of personality addressed here. Some are published, and some are not.<sup>2</sup> Some are statistically validated, while others are not. Although the exercises offered here are not of the magnitude to assure general reliability, they are designed to assist you in your private introspection.<sup>3</sup>

**“He who knows  
himself best  
esteems himself  
least.”**

*H. G. Bohn*

## EMOTIONAL STABILITY AND CONSCIENTIOUSNESS

The terms **emotional stability** and **conscientiousness** come from what is well known as the *Big Five model* (Digman 1990) of personality theory.<sup>4</sup> Reflect on the following statements and decide whether they are usually more descriptive or less descriptive of you. It may be helpful to also ask someone else to tell you how descriptive these statements are of you.

- I worry a lot.
- I experience distress and tension often.
- I get upset rather easily and quickly.
- I tend to be moody.
- I do not remain calm in tense situations.
- I get nervous easily.
- I often find it difficult to control my temper.

<sup>2</sup> Most such tests may be administered only by professionals licensed in the state where you reside, and assessment materials may be difficult to find. However, the material in appendix A will guide you in locating relevant material.

<sup>3</sup> It is recognized that when an individual makes him/herself public, as, for example, in a questionnaire to be scored by another, it is possible to skew the results (see, e.g., Schwarz 1999). If one attempts to present a desired self, the results are not accurate. It is quite possible that educated, honest self-assessment is the most reliable of all assessments.

<sup>4</sup> See also Hurtz and Donovan (2000); and Raymark, Schmidt, and Guion (1997).

## Personality

This first dimension of personality is used to describe your behavior under distress. If, more often than not, you remain unchanged, calm, collected, and confident when confronted with unexpected stressors, then you should probably assess yourself as having high emotional stability. If, on the other hand, unexpected stressors typically cause you to feel very anxious, nervous, or tense or cause you to lose confidence or otherwise change your behavior in negative ways and you found the foregoing statements to be fairly descriptive of you, then you might assess yourself as having relatively low emotional stability.

Now consider the next group of statements and decide whether they are more or less descriptive of your typical behavior. Again, the assessment of someone who has substantial experience with you may help.

- I am always careful and thorough.
- I plan.
- I organize.
- I am efficient.
- I am reliable.
- I am industrious.
- I persevere and follow things through to completion.

If you *typically* are not dependable, are easily distracted or disorganized, miss deadlines, procrastinate, abandon or fail to complete projects, tasks, or assignments, then you should probably assess yourself relatively low on conscientiousness. If you are very dependable, organized and focused, always meet deadlines, complete projects and plans, and seek high levels of competence and believe that the foregoing statements describe your usual behavior very well, you should probably assess yourself extremely high on conscientiousness.

## LOCUS OF CONTROL

Please complete Exercise 1 prior to reading further.

### Exercise 1

Think of three times recently when things did not go your way or did not turn out as well as you had hoped. Write down each one.

Next, consider the first incident. What is your *immediate* thought to explain the disappointing outcome? Do *not* think long about this. Simply record your first thought.

## Personality

Do the same with incidents 2 and 3.

Now, think of two more incidents and, again, record your reasons for the outcome in each.

The term **locus of control** is used to describe the extent to which a person believes she/he is the master of what happens to her/him (Rotter 1966). Those who believe that they are in control are said to have an *internal* locus of control, while those who believe that what happens to them is the result of happenstance or the actions of others are said to have an *external* locus of control. You do not have to believe that you are the master of all things and all fate in order to have an internal locus of control. A good indication of an internal locus of control would be your taking responsibility for a poor performance evaluation. Individuals with an extremely high internal locus of control also tend to accept responsibility for actions of others under their control, such as subordinates. A good indication of an external locus of control would be your regularly attributing poor performance to reasons outside of yourself, such as interference from others or unfairness of others.

If in Exercise 1 you consistently attributed the reasons for the outcome to factors external to you, you might assess yourself with an external locus of control. On the other hand, if you consistently attributed the reasons to things in your control, you should assess yourself with an internal locus of control.

### SELF-MONITORING

You might think of **self-monitoring** as your chameleon factor. However, do not conclude that it is necessarily a negative trait. Self-monitoring is the term used to describe an individual's ability to adapt or change behavior based on circumstantial or situational factors (Snyder 1987).<sup>5</sup> It is also possibly related to emotional intelligence, which we discuss later in this chapter. People with a high degree of self-monitoring adjust their behavior to suit the people, circumstances, and situation; people with a low degree of self-monitoring remain consistent in their demeanor, expressed attitudes, and behavior despite any situational cues that may indicate otherwise. If you are typically conscious of external cues and react to them by modifying your expressions, behavior, or demeanor, you

<sup>5</sup> See also Day, Schletcher, Unckless, and Hiller (2002). (Note that there is not yet a large amount of research on self-monitoring.)

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should probably assess yourself as a relatively high self-monitor. If your behavior, expressions, and demeanor remain consistent across very different situations and with very different individuals and external circumstances, then you should probably assess yourself as a very low self-monitor. If you pride yourself in consistent behavior—always being true to yourself—you are likely to be a low self-monitor.

### COMPETITIVENESS AND TYPES A AND B

Do you eat rapidly? Do you walk rapidly? Do you often focus on obstacles and become impatient with them? Do you try to do more than one thing at a time? Do you place time pressure on yourself? Are you obsessed with time? Do you readily know how long each of your regular daily tasks takes? Do you find relaxation difficult? Do you evaluate your performance and success in terms of quantifiable things, such as earnings and personal possessions? Do you like to discuss your accomplishments and acquisitions?

Are you able to relax without feeling guilty? Would it be correct to say that you feel no need to wear a watch? Do you feel like there is ample time to accomplish your goals? Do you rarely think in terms of time expended? Do you rarely discuss your achievements?

One measure of personality is known as **Type A and B** (Friedman and Rosenman 1974). If you answered “yes” to most of the questions in the first paragraph of this subsection, then you are likely a Type A personality. If you answered “no” to most of those questions and are more aligned with the sentiments expressed in the second paragraph, then you are likely a Type B personality.

**Competitiveness** is a characteristic most often associated with Type A personalities. It is common for Type A individuals to have a high level of competitiveness. However, individuals exhibit Type A or B behaviors in varying degrees. Furthermore, some individuals who possess Type A tendencies such as time urgency, speed, and impatience do not necessarily focus on competing with *others*. They sometimes are competing with themselves. Therefore, in addition to assessing whether you are more A or more B, you should separately assess your level of competitiveness with others. A desire to win and the penchant for focusing on quantifiable material accomplishments are the strongest indicators of high competitiveness.

#### **HOT TIP!**

Be sure to assess whether you compete more with yourself or with others.

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## NEEDS FOR ACHIEVEMENT, POWER, AND AFFILIATION

David McClelland's needs theory of motivation (McClelland 1961, 1975) also addresses aspects of personality relevant to our purpose here. He and his associates investigated certain behavior relative to the **needs for achievement, power, and affiliation**.<sup>6</sup> Everyone has some level of all three needs; however, it is the strength of each need relative to the others that may affect behavior and negotiation performance.

Those with a high need for achievement are driven to excel. They also tend to seek responsibility—wanting credit for solutions, and they seek feedback. High achievers are typically moderate risk takers.

While the need for power may be analyzed in two veins—personal and social, our focus here is on the need for personal power. Those with a high need for personal power seek power over others. They seek to control or cause behavior in others. Social power, on the other hand, is the power to enable others to excel and the power to create a greater good.

Those with a high need for affiliation seek pleasant, friendly interactions and relationships. They seek cooperation and mutual understanding. They may tend to move away from competitive interactions.

In assessing the relative strength of these needs, you may consider what you would prefer others say about you after you depart this life. Would you most like to be described in terms of your material accomplishments? Would your greatest satisfaction come from being described as a warm and caring person? Would you like to be recognized for having helped others succeed?

In addition to thinking about how you feel you identify with each of these needs, you may learn about the relative strength of these needs in your personality by examining how you assess others and how you explain the stories and motives of others. These can be about real people you know, or they can be stories you fabricate about strangers in magazines or photographs. Since we project our own motives onto others, what you imagine and understand about others will disclose something about you. Look for themes in your stories about what is happening and what will happen. If you find frequent focus on friendship, affiliation, and love, it

<sup>6</sup> See also Atkinson and Raynor (1974).

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may be a reflection of your relatively high need for affiliation. If you find frequent focus on control and influence over others, it may be a reflection of your relatively high need for personal power. Finally, if you find frequent focus on accomplishment and responsibility, it may be a reflection of your relatively high need for achievement.

### MACHIAVELLIANISM

Machiavellianism is named for Niccolo Machiavelli and seems to be closely related to values and ethics.<sup>7</sup> It is the name used to measure the extent of one's motivation for personal gain. It measures one's willingness to place self-interest above all other interests. A person with a high level of Machiavellianism believes that the end *always* justifies the means. Such a person approaches situations with a high level of competitiveness and wile. A high level of Machiavellianism is related to manipulative and deceptive behavior. Due to the nature of this trait, questionnaires to measure it are apt to produce inaccurate results! You may look into yourself to assess your level of this trait.

### JUNGIAN PERSONALITY PREFERENCES

Our focus in this section is on the theories of personality that originated with Carl Jung. Although Jung's work extends far beyond what we use here, he analyzed four key dimensions of personality that are particularly relevant to understanding human interaction in general and negotiation in particular.

Jung (1968) analyzed four dimensions of personality: (1) our **personal source of energy**, (2) our **manner of taking in information**, (3) our **style of processing information** and/or making decisions, and (4) our **style of structuring or interacting with the outside world**. Jung coined a term to describe the two most opposite extremes of each dimension. While each of us possesses aspects of both extremes, according to Jung, we are born with a predisposition for a preference as to each dimension. Those preferences derive from a combination of genetics and early experience.

Most individuals retain a preference even while developing their opposite capacities. The degree to which these predispositions develop depends upon one's environment, including the amount and significance of your contact with people of the same or different

<sup>7</sup> This concept of personality is based on Niccolo Machiavelli's *The Prince*. See Christie and Geis (1970).

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preferences as well as the type of activities you undertake. These preferences affect what we perceive, what we come to know, how we learn and know, and how we approach negotiation.

The opposite of each preference is present in the unconscious and can influence your behavior. Often such displays of nonpreference behaviors are viewed by others as aberrations. Most individuals do possess a preference, although individuals differ in the relative strength of their preferences. Knowing your preferences is necessary for improving your negotiation communication. Furthermore, when under distress or experiencing some loss of self-control, you will unconsciously revert to your preferences.

Jung's terms for the two preferences in each dimension are (1) *extroversion* and *introversion* (E and I), (2) *sensing* and *intuiting* (S and N), (3) *thinking* and *feeling* (T and F), and (4) *perceiving* and *judging* (P and J). Jung's work has been popularized by others. The Myers-Briggs type indicator (MBTI) is widely recognized and is built on Jung's work.<sup>8</sup> The following material is intended to provide a general framework for your informal determination of preferences.

### **EXTROVERSION/INTROVERSION: PERSONAL SOURCE OF ENERGY**

Extroverts tend to verbalize much of what they observe and judge. They are energized by people and action, and they become tired when they spend too much time alone. They would rather talk than listen, and they sometimes speak before they think. Extroverts prefer to work in groups, like to test ideas on others, and like affirmation from others. They often talk until the answer or solution comes to them.

Jung's (1968) original theory described a person's energy source as also related to the person's view of the world. Accordingly, extroverts take an external and objective view and introverts take an internal and subjective view.

Introverts tend to keep their observations and judgments to themselves. They are energized by thoughts and ideas and can become drained by prolonged, intense interaction with several people. Introverts prefer listening over talking and often regret, after the

<sup>8</sup> Another popular application that is built upon Jung's work and the MBTI is *Type Talk* (Kroeger and Theusen 1988). The MBTI is a psychological instrument available through individuals trained and licensed to administer the test. It must be noted that, despite its widespread use, there still lacks valid evidence for the MBTI. The categories and terms used here are substantially consistent with both Jung and MBTI. It is also noted here that Jung preferred to spell the word as *extravert*; however, the common preferred spelling is used through this book.

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fact, not having spoken up. They think before they talk, often deferring a response. Introverts get rejuvenated by time alone with their thoughts and often feel a need to be alone after extended time with several people. Introverts prefer to generate ideas or work through problems alone. They are perceived as good listeners and often as shy or reserved. Introverts also tend to be annoyed when someone states the obvious or restates something that has already been said.

Descriptive words that should assist your self-assessment are presented in the following lists. In combination with the foregoing explanation, use the following words to determine whether you are *more or less* an extrovert or an introvert. If a scale existed between the two extremes, would you place yourself more toward the E or the I?

### **Extrovert (E)**

Sociability  
Interaction  
External  
Breadth  
Extensive  
Multiple relationships  
External events  
Gregarious  
Speaks, then thinks

### **Introvert (I)**

Territoriality  
Concentration  
Internal  
Depth  
Intensive  
Limited relationships  
Internal reactions  
Reflective  
Thinks, then speaks

## **COGNITIVE PROCESSING STYLE: HOW WE TAKE IN AND PROCESS INFORMATION**

Here we will look at the second and third dimensions of personality according to Jung's theory—sensing/intuiting and thinking/feeling. Sensing and intuiting designate opposite styles of taking in information. Thinking and feeling designate opposite styles of processing information. The function of taking in information is nonrational, while the function of processing that information is rational.

### ***Sensing/Intuiting***

Sensors tend to be quite literal in their observations about the world as well as in their perceptions and data gathering. They are practical and realistic and enjoy the tactile part of life. Sensors prefer tangible, hands-on experiences. They like precision and sequential presentations. They know by reference to physical, external, and objective sources. They feel certain about those things that come from the five senses—taste, touch, sight, hearing, and smell. They prefer facts and

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details to interpretation of meaning. They prefer specific questions and specific answers. Sensors concentrate on the present and would rather act than think. They get frustrated when instructions are not clear or when details are left to later. They are more comfortable learning subjects and skills that are conducive to precise rules or formulas, such as mathematics, accounting, engineering, and other *objective* knowledge, than they are with learning subjects such as philosophy, human behavior, religion, and similar areas wherein *subjectivity*, multiple approaches, and uncertainty more abound.

Intuitors can be figurative. As information is gained through the five senses, intuitors take it in and look for meanings and relationships. They know by reference to nonphysical, internal, and subjective sources. They prefer to look at the grand scheme of things. They prefer a holistic approach, trying to organize information into theoretical frameworks. Intuitors like to find the underlying meaning rather than accepting things at face value. They tend to think about several things at once. They may be accused of being absent-minded. They find details boring. Approximations and randomness do not bother the intuitor. That there may not be one correct answer does not bother an intuitor.

The list of words that follows is provided as additional assistance in identifying your preference on this dimension. Decide whether you are closer to the S or the N.

| <b>Sensor (S)</b>    | <b>Intuitior (N)</b>   |
|----------------------|------------------------|
| Literal              | Interpretative         |
| Present              | Future                 |
| Tangible             | Conceptual/theoretical |
| Perspiration (doing) | Inspiration (thinking) |
| Concrete             | Abstract               |
| Sequential           | Multiple               |
| Fact                 | Fantasy                |
| Practicality         | Ingenuity              |
| Specific             | General                |

### Thinking/Feeling

Note that Jung's terms here were not intended to describe one preference for thinking and another for feeling. This preference describes two types of rational processing. The names are not to imply that thinking connotes intellect or logic and feeling connotes emotions. Rather, the two distinguish the approach to and relative values used in decision making. Both are rational, intellectual functions. Ideas create feelings. Feelings create ideas. The terms denote

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two processes for the same function—processin information and making decisions.

Thinkers prefer to be detached and analytical in making decisions. They try to use objective criteria and guidelines. They strive for clarity and what they believe is justice. They try not to get personally involved in decisions. Thinkers are often called firm minded. They stay cool and calm when others get upset. When thinkers see others as wrong, thinkers may say so, regardless of the others' feelings. It is more important for thinkers to be right than to be liked. They are sometimes viewed as cold or uncaring. Thinkers remember numbers more easily than they remember faces and names.

Feelers use interpersonal involvement and subjective value and criteria in making decisions. The impact and consequences of decisions are important to feelers. They are often referred to as tenderhearted. They try to identify with others and be empathetic. Feelers often overextend themselves to meet the needs of other people. They do not hesitate to apologize for or rescind something they said that hurt another's feelings. They are sometimes criticized for being fuzzy or sindirect due to their concern for others' feelings. They prefer harmony over clarity and tend to put a great deal of love into their efforts. Feelers take things personally. One may say that they lead with their heart.

The following lists may assist you in identifying your preference on this dimension. Decide whether you identify more with the T words or the F words.

| <b>Thinker (T)</b> | <b>Feeler (F)</b> |
|--------------------|-------------------|
| Objective          | Subjective        |
| Firm minded        | Fair hearted      |
| Rules              | Circumstances     |
| Absolutism         | Persuasion        |
| Just               | Humane            |
| Clarity            | Harmony           |
| Critical           | Empathetic        |
| Policies           | Values            |
| Detached           | Involved          |

### **ORIENTATION TO OTHERS**

We have distinguished information-gathering preferences—sensing and intuiting. We have distinguished decision-making or information-processing preferences—thinking and feeling. We have distinguished energy sources and preferences—extroverting

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and introverting. This last of the four dimensions distinguishes how one relates to the outer, or external, world both verbally and behaviorally.

### Perceiver/Judger

Perceivers prefer a flexible, spontaneous, adaptive, and responsive environment. For them, sticking to decisions creates anxiety. They prefer to wait and see what needs to be done. They are easily distracted. They love to explore. They are often accused of being disorganized. They believe that creativity is more important than order and that if work is not fun it probably is not worth doing.

Judgers prefer a structured, scheduled, ordered, planned, and controlled environment. They have a place for everything and everything in its place. They are decisive and deliberate. They make decisions with minimal stress. Judgers plan their work and follow their plan. Their view is that there is a correct way and an incorrect way of doing everything. They like to complete things. When something pops up to interfere with their plan, they experience annoyance and anxiety. Judgers are always waiting for others who fail to be on time. They believe that if everyone would simply do as they are supposed to, life would be great. They are often accused of being angry when they are merely stating their opinions—or frustrations.

The following lists will assist you in identifying this preference.

| <b>Perceiver (P)</b> | <b>Judger (J)</b> |
|----------------------|-------------------|
| Pending              | Firm              |
| Indefinite           | Decided           |
| Flexible             | Fixed             |
| Adapt                | Control           |
| Defer                | Complete          |
| Respond              | Anticipate        |
| Random               | Structured        |
| Tentative            | Definite          |
| Spontaneous          | Planned           |
| What deadline?       | Meets deadline    |

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### **LEARNING STYLE: WHAT YOU SEE AND HOW YOU KNOW**

*Learning* may be defined as the process of acquiring a relatively permanent change in understanding, attitude, knowledge, information, ability, and/or skill (Wittrock 1977). There are many ways

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to learn and many ways of knowing. No single theory fully explains learning. Nor does any single theory account for all individual differences. Human learning is complex. Several theories and measurement instruments have been developed to assess cognitive processing, learning, and perception.<sup>9</sup> In the preceding subsections, we addressed Jungian psychology in terms of how we take in information and how we process that information or come to decisions. Here we borrow from the Kolb learning style model (Kolb 1984, 1985) to assess your dominant or preferred **learning style**, which is another way to assess how you take in and process information.

The Kolb inventory attempts to measure certain aspects of perception and cognitive processing and then categorizes individuals according to four major learning types. The four types are accommodators, divergers, convergers, and assimilators.

- *Accommodators* learn best by hands-on activity—by doing. They take in information primarily through their senses and apply it concretely. An accommodator would learn to play tennis by simply picking up a racket and going for it. It is believed that accommodators are also likely to invite new experiences and take risks. Typically, accommodators use trial-and-error techniques and are able to adapt relatively quickly to new information and new situations. It is also thought that accommodators like to gather information by talking with others and like to influence others. Since they rely on experience as their teacher, accommodators tend to ignore information that conflicts with their own experiences and views. Accommodators also may miss deadlines due to their dislike of structure and procedure. This learning style is closely aligned with the Jungian preferences for extroversion and sensing.
- *Divergers* also take in information primarily through their senses, but they reflect on the information—seeking meaning rather than concrete application. Divergers may learn tennis by trying it followed by thinking about the meaning or effect of their actions, seeking understanding of how to play. It is believed that divergers tend to be concerned about the feelings of others and to seek harmony. Typically, divergers excel in being able to appreciate multiple views and hold multiple perspectives. They are also typically imaginative, have broad interests, and work well in groups.

<sup>9</sup> For further information on some of these theories and instruments, see Dyrud (1997) and Feder (1996). For a more thorough discussion of adult cognition see Cavanaugh and Blanchard-Fields (2002).

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- *Convergers* take in information through abstract conceptualization and then apply it in active, concrete experience. They learn by thinking and then doing. Convergers would learn to play tennis by first reading an instruction book on the game and then picking up a racket to apply the information gained. They tend to thrive on efficiency and timeliness—seeking results and conclusion. They also, however, tend to seek simple or single solutions—the one best answer. Thus, convergers may not work particularly well in groups and may not excel in creativity. Further, convergers' penchant for decisiveness may cause them to sacrifice quality for quantity at times.
- *Assimilators* take in information through abstract conceptualization and process the information reflectively—seeking meaning, interrelationships, and integration. They learn by abstract conceptualization and reflective observation. Assimilators would learn tennis by reading and thinking about it and visualizing the play. Assimilators typically tend to value order, continuity, and expert opinion. They excel in the theoretical. They are rational and logical thinkers—able to reason both deductively and inductively. Assimilators prefer to work alone and may sometimes be overly cautious. This learning style is closely aligned with the Jungian preferences for introversion and intuiting.

### RIGHT-BRAIN/LEFT-BRAIN DOMINANCE

The brain consists of two hemispheres connected by fibers called *corpus callosum*. Each half, or hemisphere, is covered by a cerebral cortex—known as gray matter—that controls sensory and motor processing, perception, and cognitive functioning. The left side of the brain controls the right side of the body, while the right side of the brain controls the left side of the body. The left side of the brain is also the center for speech, language, verbal memory, hearing, logic, mathematical processes, detail, and planning. The right side of the brain is the center for processing nonlinguistic hearing/sounds, visuospatial processing, touch sensations, emotions, relational and conceptual thought, analogous thinking, and creativity.

Most adults have a preference for left or right activities or may be said to be dominated by the left or right side of the brain. Those who are strongly left-hemisphere dominant are detail-oriented and attach importance to logical thinking and objectivity. Those who are right-hemisphere dominated are big-picture oriented and attach

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importance to analogous thinking and subjectivity. If you have ever wondered why many accomplished musicians with traditional musical training are unable to play by ear and many who have never studied music and cannot read music are able to play beautifully by ear, it is because the two functions are controlled by different sides of the brain. Playing music by ear is a right-brain function, while reading music is a left-brain function.

You may see a relationship between the sensing/intuiting and thinking/feeling preferences we have discussed. That is, sensing and thinking are activities that utilize the left brain, while intuiting and feeling are activities that utilize the right brain. This information about brain function is intended to assist you with those assessments, as is the creativity discussion that follows.

### CREATIVITY

*Creativity* is that ability to see what others do not see. It is a right-brain function; however, just as with the other characteristics addressed here, creativity can be developed; and, just as with the other characteristics addressed here, creativity varies among individuals. Traits and skills that may be linked to creativity include openness to new experiences and new ideas, fondness for complexity, the ability to think critically as well as integratively, the ability to see multiple views, and a high level of self-confidence. You may see similarities to the intuitive preference we have discussed as well as to the cognitive style of assimilators and divergers already discussed. Persons who are intuitors, assimilators, and/or divergers may find it easier to develop their creativity. The ability to think creatively is a valuable skill in negotiation.

**“A charismatic CEO can win every argument regardless of the facts. A noncharismatic CEO has to win on the merits of the argument.”**

*Jim Collins, author of  
Good to Great*

### CHARISMA

Charisma is somewhat like sex appeal—difficult to describe, but you know it when you feel it! Furthermore, like sex appeal, charisma is not the same to all individuals. Charisma is a personal force that draws people—that causes people to like, admire, and agree.

You will, perhaps, obtain the most useful information on your level of charisma by querying your friends. You may ask them the following questions:

- Do I pay close attention when you are talking?
- Do you trust me?

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- Do you understand what I say?
- Do I appear too fearful of failure?
- Do I help you attain your goals?
- Do you respect my views?
- Do I respect you and your feelings?
- Am I competent?
- Am I persuasive?
- Do you like to be with me?

It is possible to learn to be charismatic. Key attributes associated with charisma include vision, energy, and the expression of empathy (Nadler and Tushman 1990; Waldman and Yammarino 1999). One may focus on developing those attributes to become charismatic.

### EMOTIONAL INTELLIGENCE

The term **emotional intelligence** is used to describe an individual's ability to excel in human interaction. Certain competencies have been suggested to comprise emotional intelligence (see Davies, Stankov, and Roberts 1998). The development of self-knowledge, self-management, self-motivation, and empathy will increase your emotional intelligence (EI).

### Performance Checklist

- ✓ Personality is the package of an individual's distinctive emotional, cognitive, and spiritual attributes.
- ✓ Facets of your personality that affect your negotiation include emotional stability, conscientiousness, locus of control, self-monitoring, competitiveness, Type A and B, need for achievement, need for power, need for affiliation, Machiavellianism, extroversion, introversion, sensing, intuiting, thinking, feeling, perceiving, judging, learning style, right-brain/left-brain dominance, creativity, charisma, and emotional intelligence. Since facets of personality may change with age and in response to environmental changes, you should assess yourself periodically.
- ✓ Your negotiating success depends upon understanding and using your unique personality as well as perceiving and understanding the personalities of others. You must know yourself to tap your personal power. You must understand yourself before you can understand others. Using your learning from this

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chapter you should review your profile recorded on Exhibit 1 according to the consistency check provided on the form.

### **Key Terms, Phrases, and Concepts**

Emotional Stability

Conscientiousness

Locus of Control

Self-Monitoring

Type A and B

Competitiveness

Needs for Achievement, Power, and Affiliation

Personal Source of Energy

Manner of Taking in Information

Style of Processing Information

Style of Structuring or Interacting with the Outside World

Learning Style

Right-Brain/Left-Brain Dominance

Emotional Intelligence

### **Review Questions**

Mark each of questions 1 and 2 as True (T) or False (F) and answer questions 3 through 10.

- T F 1. It is not possible to change any aspect of one's personality.
- T F 2. It is possible to change your characteristic behaviors.
3. Consider the question "What do I know and how do I know it?" in light of how you take in information.
4. Consider how you know what you know in light of your learning style.
5. Develop a working definition of *personality* in your own words.
6. Describe in your own words your primary learning style.
7. Identify a left-brain activity that you do well.
8. Identify a right-brain activity that you do well.

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9. Critically evaluate the behavioral differences that may be observed when comparing a person with a high level of competitiveness with others to a person who has high competitiveness with herself.
10. Critically evaluate the difference between a need for personal power and a need for social power.

### **Case 1**

Since your goal is to learn how to identify key personality characteristics when interacting in live situations, rather than presenting a written case here, you are asked to tune into a television program or movie for a live case. Watch for ten to fifteen minutes. You may also recall an experience or a vignette from memory. Try to identify in each character as many of the personality and behavioral characteristics studied in this chapter as you can.

### **Case Discussion Questions**

1. Was the task difficult?
2. Did you find it difficult to differentiate among or between any aspects? If so, you might study those aspects again.
3. Were the overwhelming majority of the personality aspects identified the same or similar to your personality aspects? If so, you may want to reflect on why and do the case again.

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# Conflict

From *Conflict Management: A Practical Guide to Developing Negotiation Strategies*. Barbara A. Budjac  
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# Conflict

**“On a cold winter's day, a group of porcupines huddled together to stay warm and keep from freezing. But soon they felt one another's quills and moved apart. When the need for warmth brought them closer together again, their quills again forced them apart. They were driven back and forth . . . until . . . [they found] maximum of warmth and a minimum of pain.”**

*Arthur Schopenhauer*

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn the nature of conflict and its relationship to negotiation
- To assess your personal approach to conflict
- To use systems thinking to diagnose and analyze conflict
- To understand the difference between managing, resolving, and avoiding conflict

## Conflict

Conflict is the antecedent of negotiation. We seek to change someone's opinion because it conflicts with ours. We seek to change someone's behavior because it conflicts with what we want. We seek to cause someone to give us something or do something for us because something conflicts with our ability to satisfy our need or otherwise get what we want by ourselves. Our view and analysis of conflict, therefore, directly affects negotiation approach and strategy.

As with most things in life, individuals develop attitudes and ways of thinking that often result in habits or patterns of behavior when dealing with conflict. Attitudes and patterns can interfere with attaining maximum negotiation effectiveness by clouding assessment of the situation and frustrating choice of appropriate strategies.

Before it is possible to develop an effective negotiation strategy, it is necessary to correctly diagnose the conflict. Before it is possible to correctly diagnose the conflict, it is necessary that we recognize our predispositions for dealing with conflict. The propriety of strategy varies with the nature of the conflict, the circumstances, and the individuals involved. Armed with self-knowledge and basic conflict assessment tools, we may proceed to develop personal strategies that work to solve the right problem.

In this chapter you will have the opportunity to examine your approach to conflict. The strategies discussed in this chapter will serve as a foundation for integrating your personality and temperament with effective negotiation techniques. Interested readers may find the supplemental resources referenced in the footnotes in this chapter helpful for continued study.<sup>1</sup>

### FIRST THINGS FIRST

Before we begin our study, please complete the following exercises.

#### Exercise 1

Write down on a sheet of paper the first few things that come to your mind when asked, "What is negotiation?"

- Do *not* ponder this. Take only 30 to 45 seconds to respond.

<sup>1</sup> Individuals interested in advanced study may want to regularly check these journals for articles of interest: *Journal of Conflict Resolution*, *Journal of Social Issues*, *Negotiation Journal* *Peace and Change*.

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### Exercise 2

Write down on a sheet of paper the first things that come to your mind when you hear the word *conflict*.

- Again, do not think hard. Take only 30 to 45 seconds to respond.

Now put those thoughts aside while we begin to explore the subject of conflict.

## CONFLICT: WHAT IS IT? WHERE IS IT?

Conflict exists wherever and whenever there is an **incompatibility** of cognitions or emotions within individuals or between individuals. It arises in personal relationships, in business and professional relationships, in organizations, between groups and organizations, and between nations. Note that the definition implies as necessary a real or **perceived interdependence**. Conflict may be real or perceived. That is where the concept of cognition comes into our definition. Our thoughts—cognitions—include what we believe. Our beliefs are our cognitions—what we think we know—whether or not based in reality. In interpersonal interaction, perception is more important than reality. What we think—perceive—affects our behavior, attitude, and communication.

### KEY POINT

If every conflict were truly a *real* incompatibility, then negotiation would be little more than an exercise in frustration!

If what you seek is truly not possible, you are either focusing on the wrong problem or selecting the wrong solution. The keys for purposes of developing your negotiation skills are to underscore the words *interdependence* and *perceived*. If there is no interdependence, there is little the parties can or will do for each other, which is another way of saying that not everything is negotiable. If the negotiation has no potential to benefit you, you should not negotiate. In such circumstances, a nonnegotiated option is the better alternative.

It is the perception or belief that opposing needs, wishes, ideas, interests, and goals exist that create what we commonly call conflict. Conflict is everywhere, and it is inevitable. It arises from many sources. In addition to being the antecedent for negotiation, conflict may also arise during negotiation.

The subject of conflict is large and complex. Conflict, if misdiagnosed or misdirected, can lead to a spiral of antagonistic interaction and aggravated, destructive behavior. Here we address only

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the most important issues relevant to developing effective negotiation skills. What we address, however, should assist you in all of your interactions.

### YOUR PERSONAL APPROACH TO NEGOTIATION AND CONFLICT

Compare your automatic responses to the word *negotiation* in Exercise 1 to the words in the following lists to determine whether your current approach to negotiation is positive or negative.

| <b>Positive Approach</b> | <b>Negative Approach</b> |
|--------------------------|--------------------------|
| Interaction              | Contest                  |
| Mutual benefit           | Win or lose              |
| Interdependence          | Control                  |
| Opportunity              | Problem                  |
| Difference               | Dispute                  |
| Exchange                 | Struggle                 |
| Persuade                 | Manipulate               |
| Exciting                 | Frightening              |
| Stimulating              | Tension                  |
| Challenging              | Difficult                |

The “wild card” is the word *conflict*. If one of your responses was the word *conflict*, you must assess your view of conflict to decide if, for you, it constitutes a negative or positive approach to negotiation.

Compare your automatic responses to the word *conflict* in Exercise 2 to the groups of words shown next to determine whether your current approach to conflict is positive or negative.

| <b>Positive Approach</b> | <b>Negative Approach</b> |
|--------------------------|--------------------------|
| Strengthening            | Destructive              |
| Developmental            | Pain                     |
| Growth                   | War                      |
| Courageous               | Hostility                |
| Helpful                  | Threat                   |
| Exciting                 | Violence                 |
| Stimulating              | Competition              |
| Creative                 | Anger                    |
| Energizing               | Distress                 |
| Clarifying               | Alienation               |
| Enriching                | Hopeless                 |
| Good                     | Bad                      |

## Conflict

Many perceive negotiation as conflict; but, if that comes with a negative attitude or view, it can produce an **aversive driveline state**, which produces rigid thinking. Rigid thinking lessens the ability to see trade-offs necessary to integrate a win-win solution. A negative approach reduces general cognitive ability and creativity—the key skills necessary for successful resolution of conflict. It is advisable to try to think in terms of interdependence and mutuality. Our attitudes toward conflict and, therefore, negotiation develop from social learning in the context of our families and prior experiences.

If you already hold a positive view toward negotiation and conflict, you will find such a view helpful in developing your personal negotiation effectiveness. If—as is the case for many individuals—you have a negative view of either or both, you will be well served to work on revising your view.

### ANOTHER EXERCISE IN ATTITUDE

Suppose that someone offered you a coin toss proposition. He offers to flip a quarter while you call heads or tails. If you make the call correctly, he will give you one million dollars. If you call the toss incorrectly, you must pay him one hundred thousand dollars. What is your first impulse? First thought? Do you take the chance?

Analyze your thought process. Do you think the guy is crazy to give you ten-to-one odds on a fifty-fifty chance? Is your immediate thought what you will do with a million dollars or how you will feel giving up one hundred thousand dollars? Can you afford to give up one hundred thousand dollars?

Your first thought may reflect your general positive or negative attitude. The evaluation of whether or not you can afford losing, of course, should ultimately determine whether or not you may consider taking this chance.

### THE TERMS ATTITUDE, VIEW, APPROACH, AND STYLE

You may think of the term approach, used in the preceding section, as synonymous with your general view and attitude toward conflict and negotiation. Your view of conflict and negotiation, along

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with key personality characteristics, affects your instinctive choice of interaction style. The next section provides information that should prove helpful in honing your personal approach to, or view of, conflict and negotiation generally.

### SOCIOLOGICAL SCHOOLS OF THOUGHT ON CONFLICT

There are three widely recognized schools of thought on conflict. The **traditional view** is that conflict is bad and should be avoided. This general approach to conflict fosters both avoidance and competitive behavior in interaction. This is the view that many people learn unconsciously, and it is a view that causes anxiety about negotiation and fosters avoidant negotiating styles. Such unconscious negative learning is predominant in Western cultures and is related to cultural norms and values. During our early years, we may be taught behaviors that perpetuate the traditional view. Admonitions that may sound familiar and teach us that conflict is bad and should be avoided include phrases such as: “If you can’t say anything nice, don’t say anything at all”; “Don’t start a fight”; “Be nice—just get along.”

The **human relations school of thought**, the second of the three, views conflict as natural and sometimes functional and other times dysfunctional. If the words you used in the exercises earlier in this chapter were neutral to positive, you may fit into the human relations view. According to this view, conflict *can* be a mechanism through which views and opinions are made known and through which an opportunity for creativity and persuasion is born. Conflict can also increase communication and integration. This general approach to conflict encourages maintaining an open mind toward conflict. If you are able to begin to focus on the more positive aspects of conflict, you will expand and improve your negotiating strategies.

The third school of thought, the **interactionist view**, holds that conflict is inevitable *and* that maintaining and managing a certain degree of it can actually be helpful. This general approach to conflict is to embrace it. This school of thought views conflict as a positive force except when it is misdiagnosed, improperly avoided, or mismanaged. Some examples of positive effects from conflict include multiple views, diversity in all respects, cohesion, meeting deadlines, and creativity. Even though this is a positive view of conflict and one that, if adopted, will aid in developing effective negotiation strategies, it is important to recognize that there are two

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keys. One key is correct diagnosis. The other is the appropriate strategy and action.

If your responses in the exercises earlier in this chapter were mostly positive, you may already hold an interactionist view of conflict. Such a view will assist you in effective negotiation strategies.

### CONSTRUCTIVE AND DESTRUCTIVE CONFLICT

Conflict may be constructive or destructive, and conflict approach may be constructive or destructive. A general negative, avoidant, or competitive approach or attitude is often destructive. As stated earlier, often we learn unconsciously to hold a destructive view of conflict through our early interactions. Destructive patterns that we develop result in missed opportunities, frustration of goals, and other personal negative repercussions.<sup>2</sup> In organizational contexts, further negative repercussions may include lower productivity, lower morale, increased destructive political behavior, reduced cohesion, absenteeism, and turnover.<sup>3</sup>

One example of a destructive conflict would be that of two departments within the same organization that are unable to work together. Suppose that the cost accounting department is hostile toward the production department, and vice versa. Such a situation may arise from disagreements between the two department heads. The disagreement may stem from a personal dislike, a misunderstanding, a prior business interaction, or from a number of other potential sources. It is typical for sentiments of the head to filter through the personnel in the department. Chain reactions and patterns often develop. The negative, or destructive, repercussions may range from late and inaccurate reporting to intentional sabotage and gamesmanship.

Another example of a destructive conflict is one that arises from zero-sum reward systems. When there is a fixed amount to be divided based upon some person's or persons' perspective of deservedness, employees are placed into a competition. In such a context, many destructive behaviors may emerge.

An example of a constructive conflict would be an ethics committee composed of individuals from varying areas of expertise and

<sup>2</sup> See Dunn and Tucker (1993); Jaycox and Repetti (1993); Jones (1992); McGonagle, Kessler, and Gotlib (1993); and Young-Eisendrath (1993).

<sup>3</sup> See Hathaway (1995); Kolb and Putnam (1992); and Yorbrough and Wilmot (1995). Political behavior is that which occurs outside of formal or accepted boundaries. While some political behavior may not produce harm, illegitimate and destructive political behavior includes protests, sabotage, and harmful coalitions.

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constituencies, such as one member representing community interests and one member representing shareholder interests. Differences of perspective and values create conflict. This type of conflict, unless mismanaged, produces valuable additional information as well as multiple minds for analyses. It is the type of conflict that produces well-thought-out decisions with knowledge of impact.

Another constructive conflict would be a contest among employees for valuable suggestions. Although there would be competition for generating the best ideas, the competition is directed toward the common goal of organizational effectiveness.

### **CONFLICT, CHAOS, AND COMPLEXITY THEORIES**

Key sociological conflict theorists emphasize that conflict is both inevitable and necessary for the continued existence of a social group. Social groups exist in all aspects of life and may be any size of two individuals or more. The use of conflict theory here is for understanding and managing the constructive, positive effects of conflict, as well as for understanding, avoiding, and/or resolving destructive conflict.

According to conflict theory, conflict serves a communication function that can aid in consensus and integration. Conflict theories also focus on power and domination in social structures. Conflict unfronted may lead to partial or complete disintegration or undesirable change through subversive acts or open demonstration of hostilities. Signs and behaviors exemplified in a negative, destructive spiral include increasingly critical language, defensive language, diverting communication to third parties, unhealthy coalitions through biased or false communications to third parties, and openly aggressive or hostile behavior—even violence.

Chaos and complexity theories inform us that behavior may develop into a system or patterns. The system may have an in-tended and visible structure that may be competitive, avoidant, or collaborative. A system may also, in effect, have an invisible order. A system—even a dyad, or two individuals—will come to a functioning level, whether or not such level is optimal or desired. You have seen an exemplification of this if you have ever observed or known a relationship marked by chronic bickering or fighting. Feedback can produce growth or chaos. In complexity theory, feedback is referred to as a recursive loop. The lesson here from chaos and complexity theories is to think long term in our analysis of conflict. Change is predictable given a long-term view and adequate

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understanding of conflict. The system drives behavior, and key interrelationships influence behavior over time. Intervention with a short-term view may produce worse problems than those that were addressed.

### A SYSTEMS APPROACH TO CONFLICT DIAGNOSIS

The science and study of parts, elements, relationships, rules, and processes inherent in models or systems have produced a variety of systems theories. Various systems theories have been applied to understanding social systems. Applied here is a combination of communication systems theory, conflict theory, critical theory, chaos theory, and symbolic interactionism.<sup>4</sup> The underlying theme of communication systems theories, while less precise than other models, is relational and probabilistic. While it is not necessary to master the field of **systems theory**, you will increase your effectiveness by developing a **systems approach** and perspective to conflict diagnosis and negotiation strategizing. First we review certain principles derived from systems theory. Then we apply those principles to conflict diagnosis.

Structural functionalism and general systems theory both assume self-correcting phenomena. A social system automatically responds to disruption in ways that tend to maintain the stability of the system, or the status quo. A system can create and sustain conflict. Systems and relationships are held together by consensus and conflict.

Communication systems theories (and most others) hold that systems are open and that, in fact, a closed system will ultimately cease to exist. Systems are comprised of subsystems or subparts, and there is a dynamic interaction between and among the parts as well as with external factors.

For our purposes here, systems *thinking* is most important. Systems thinking may be described as a theoretical perspective that recognizes parts, subsystems, interrelationships, and interdependencies while maintaining a holistic approach in examining and understanding. Systems thinking is divergent thinking—with no boundaries—as opposed to convergent thinking toward a single problem or answer. Individuals with an intuitive preference and those who favor a divergent learning style will find systems thinking rather natural. On the other hand, convergent learners will likely resist a systems approach.

<sup>4</sup> The interested reader is referred to Checkland (1981); Coser (1977); Lemert (1993); Ritzer (1992); and Senge (1990) for further study.

## Conflict

A systems theory approach includes an analysis of cause-and-effect relationships but does not assume that the whole is equal to the sum of its parts. A systems theory approach also includes the element of feedback analysis. It also includes analysis of the system itself—ways in which structure, roles, and rules create or sustain conflict. As applied to conflict and negotiation, our thinking should focus on constructive change.

In diagnosing or assessing conflict, utilize the foregoing perspective and principles and begin by tracking backward. Determination of how the system is creating or sustaining conflict requires identification and analysis of chain reactions and interactions. Cooperation is necessary to sustain conflict. These elements may be found by observation and communication. Seek to find actions, reactions, and interactions. Seek to discover impressions and misperceptions. Assess what is perpetuating the conflict. Identify system rules that are adding to or sustaining the conflict. Identify who and what benefits from the conflict. Determine what is attained by the conflict that might be attained in an alternative, constructive manner. Look for patterns, communication gaps, and cause-and-effect relationships.

Identification of individual roles and functions served, both formal and informal, is necessary in diagnosis. Identify subsystem roles, functions, and relationships. One approach useful in identifying roles and functions is to draw a **sociogram**.<sup>5</sup> The analysis may be done with or without a diagram. Key sociogram terms follow.

*Social network*: a group of individuals linked in interaction

*Cluster*: subgroups of the social network

*Prescribed clusters*: formal groups defined by the greater system

*Emergent clusters*: informal groups not formally recognized by the system

*Isolate*: an individual not connected to any social network

*Bridge*: an individual who links clusters by being a member of each

*Liaison*: an individual who interacts with two or more clusters but is *not* a member

*Star*: individuals with many links in the system

*Clique*: an informal, relatively permanent subgroup

*Coalition*: a temporary subgroup

<sup>5</sup>Jacob Moreno created the technique of sociometry for studying group interactions (Moreno 1947).

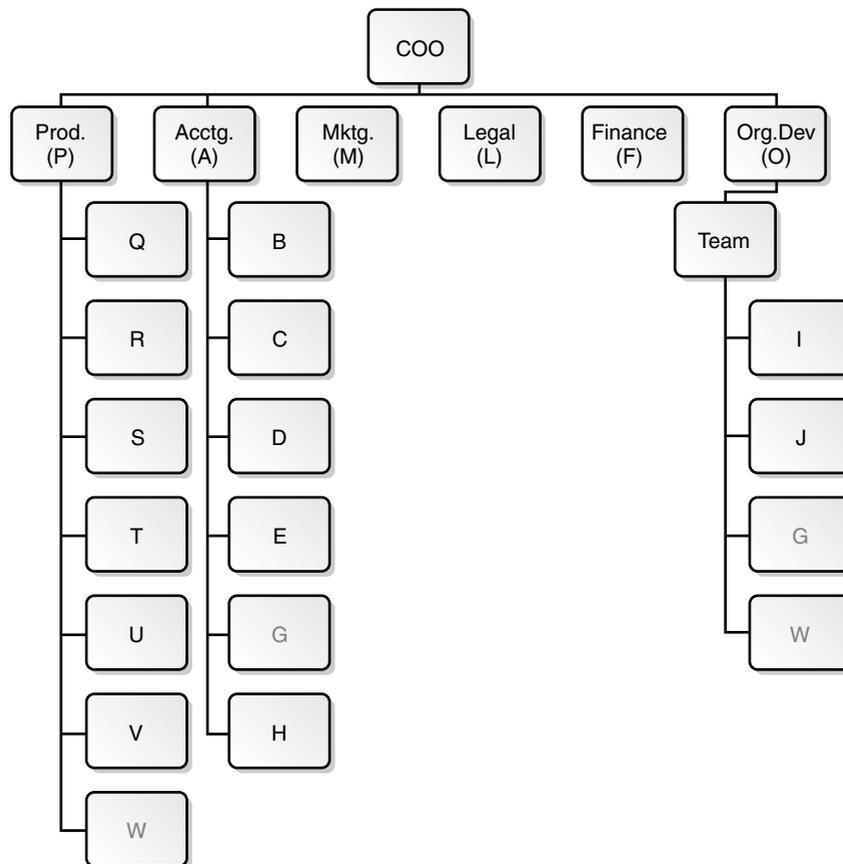
**CONFLICT DIAGNOSIS EXAMPLE**

We can use the interdepartmental hostility between production and accounting mentioned earlier in this chapter as an example of destructive conflict to illustrate the diagnosis process. A partial organization chart is depicted in Exhibit 1 for use in creating a sociogram.

First we should consider what is likely to happen if the chief operating officer (COO) approaches the conflict by issuing an edict of compliance or, worse, by taking one side or the other. Even without further knowledge of the situation, we know that at least one of the parties will be unhappy with such action. Such a move is likely to generate more conflict and polarize the parties further.

**EXHIBIT 1**

**Organization Chart**



## Conflict

If nothing is done, the system is likely to continue to sustain the conflict. The conflict is not likely to go away by itself. The COO will want to diagnose the conflict and the system prior to any negotiation. Is it necessary for either P or A, the parties in conflict, to diagnose the conflict prior to addressing the conflict? If they are smart, it is! Unless information is gathered, it is not possible to be sure that the right problem is addressed; nor is it likely that a right solution will be offered. If one of them were to approach the other with an open-ended question to state the problem, the reciprocal question back not only would be fair but also should be expected.

Through observation and inquiry, we may uncover causes for the conflict. The original cause is not as important as acute causes reflected in chain reactions and patterns. We should look for positive and negative effects and attributes of the system that affect the conflict. We want to resolve the conflict and eliminate the next occurrence.

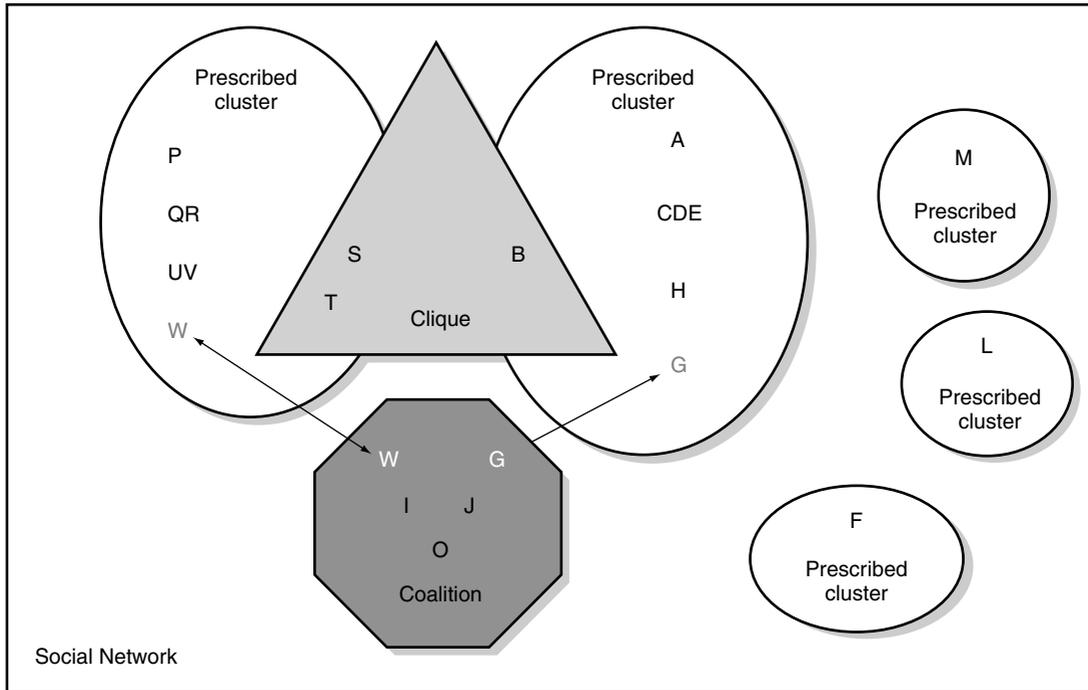
A sociogram of the relationships is presented in Exhibit 2. The sociogram in Exhibit 2 shows the entire organization as a social network. Production and accounting are also social networks. The production department, the accounting department, and each of the other departments in the organization are prescribed clusters. The organizational development team is both a prescribed cluster and a coalition. Both G and W are bridges. The chief operating officer is the only star in our abbreviated example, for the sake of keeping our example simple. Through interviews and observations, we find that S, T, and B are close social friends who like each other and also would enjoy working together. They constitute a clique and an emergent cluster, and they provide informal links between the departments in conflict. Thus, they are liaisons. Individuals G, W, S, T, and B are key sources of information for our diagnosis. It appears that they may have interests in resolving the conflict as well.

The personnel in each of the two departments in conflict also constitute emergent clusters. They have come to consensus about the interdepartmental conflict and function outside of their formal role to sustain it. In our hypothetical example, the culture of the organization is competitive, with little interpersonal trust. Those aspects of the system are also perpetuating the conflict behavior. The culture is conducive to competing or avoiding.

The individuals in the conflict are likely gaining personal satisfaction in the form of revenge on the other group. They are enjoying team spirit in the nature of a contest. Each department's consent to the conflict sustains the conflict. System stability is

**EXHIBIT 2**

**A Sociogram of all Sample Organization Personnel**



Code: Rectangle = Social network  
 Circle = Prescribed cluster  
 Triangle = Clique  
 Octagon = Coalition  
 Key roles: Liaisons = S, T, and B  
 Bridges = W and G

maintained in the status quo. In this case, however, it is not the optimal functioning level for the system. Although minimal operational requirements may be met, overall organizational performance is compromised. The organization, of course, is losing. Due to lack of cooperation, useful information is not being shared between the groups. There are also likely to be detrimental effects on the organizational development team, due to the membership of G and W—members of opposing sides of our conflict.

Even though there is some integration in each department from the team spirit produced by the conflict, individuals are likely weary and frustrated in their work. In our hypothetical example, we find no constructive effects from the conflict. If there were constructive effects, we would use a strategy to manage a portion of the conflict toward maintaining those constructive ends.

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The conflict presents itself as personal. That is, A says that P is impossible and is not a team player. P says that A does not do her job and is extremely unpleasant to be around. We learn, however, that the more acute causes are faulty perceptions and lack of knowledge. P did not receive the updated cost standards until a week into the last three production periods. He believes that A is purposely trying to cause P to fail. The competitive culture feeds that perception. We also learn that P withheld vital information from A that caused A's cost report to be embarrassingly incorrect last month. P's retaliatory chain reaction is an example of a negative pattern development.

Before considering our diagnosis complete we would also look for interactions with marketing (M), legal (L), and finance (F). We would look for coalitions related to the conflict that might exist outside of the production and marketing departments. Further, we would investigate external interactions affecting the conflict and the organization.

Last, we gather enough information to open communication between the parties to persuade them that the original late reports from A were due solely to lack of staff. Key members of A's staff were detailed to a special task force. A prior systemic analysis would have disclosed this pending conflict in advance. The system—and probably the COO—helped to create and sustain the conflict by avoiding recognition of the true conflict—dual tasking with inadequate staff.

## SYSTEMS THINKING IN SIMPLE AND COMPLEX CONTEXTS

To further illustrate systems theory, we may apply systems thinking to the conflict inherent in asking for a raise. We first ask whether there is a conflict. Employee, boss, other employees, and the organization are interdependent, and there is at least the perception that granting a raise is incompatible with maintaining a low-expense budget. A holistic approach will assist in preparing for the negotiation.

We should gather information that will help us analyze the relative equity of receiving or not receiving the raise. Using a holistic approach, we recognize that a raise may tend to disrupt the system and that the system will exert pressure to maintain the status quo. The formal system may include specific rules regarding the timing and amount of raises. The formal system may also include performance evaluation measures based upon expenditure or profit levels. Our boss's compensation may be tied to such a system.

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We recognize that the compensation of others and the general compensation policies are interrelated and interdependent with our compensation. We may also recognize that our obtaining a raise may cause others to ask for raises. We should also recognize that our boss will search for cause and effect. We must identify the cause for our request—other than that we simply would like more money to spend! Perhaps we have taken on additional responsibilities. Perhaps the market price for our services has increased substantially since the time of our original employment. Perhaps others in relevant jobs equivalent to the value of ours receive more pay than we do.

Our justification may also relate to the potential effect of having our raise request denied. We may quit, because denial is unfair. If denied, we may move to another employer at the pay rate we are requesting. If we quit, the key project on which our boss's compensation depends may fail.

As a result of systems thinking, we are able to gather information necessary to evaluate our options and formulate our strategy. The approach is useful in any context, from the most simple to the most complex. Since a systems approach requires looking at parts of the system or problem, it actually reduces apparent complexity. It facilitates the discovery of the actual problem needing attention. Very often, conflict resolution efforts fail because the wrong problem is attacked.

### MANAGING, RESOLVING, AND AVOIDING CONFLICT THROUGH NEGOTIATION

#### KEY POINT

Strategies for addressing conflict include managing, resolving, and avoiding.

Managing is using the conflict for constructive purposes. Managing conflict constructively may be approached in a compromising or a collaborative style, but it must entail a positive attitude or view. Resolving is getting rid of the conflict. Resolution may be approached in three styles of interaction—competing, compromising, and collaborating. Avoiding is doing nothing. Even under the interactionist view, some conflict is best avoided. Styles are addressed further elsewhere in this book; here we focus on conflict strategies.

Maintaining and managing conflict—or even creating conflict—are appropriate when you want to create constructive results such as increased creativity, more diversity, higher productivity, or less groupthink. As already stated, managing conflict is using it for constructive purposes. Groupthink is the name for the phenomenon wherein individuals become so concerned for the feelings of members that differences of opinion are not voiced.

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Resolving conflict is the best course of action when behaviors are destructive, the conflict is destructive, or unwanted results stem from the conflict. If you have a conflict with someone with whom you must interact every day and every day you experience a stomachache when confronted with this person, the conflict must be resolved. If a conflict between purchasing and accounting has resulted in a failure to exchange information necessary for accurate reporting, the conflict must be resolved. Resolution will enable the system to function effectively.

Avoidance, at least on a temporary basis, may very well be the best choice when emotions are high, when tempers are too hot, when you are unsure of the appropriate action, or when the substantive issue is minor. Avoidance may also be the most effective strategy when the conflict is constructive and there are no destructive consequences flowing from it. For example, if two work groups have conflict between them similar to team spirit that causes them to compete with each other in productivity and the conflict does not rise to the level that impedes necessary communication, then the conflict is constructive. In such a case, if it is not broken, do not fix it!

Avoiding resolution of destructive interpersonal conflict often precipitates a negative spiral of increasing negativity and destruction. It gets worse! However, avoidance may be the best choice when, based upon your complete assessment and diagnosis, the effects of any action you may take are likely to produce results no better than, or harm greater than, currently exists.

In selecting the best overall goal and strategy, it is necessary to focus on interdependence rather than power over others, mutual empathy and communication, and potential constructive effects. Sometimes, even when avoidance is the appropriate external strategy, you may need to manage or resolve the conflict internally. When there is, in fact, no interdependence, the conflict is likely to be solely internal to one party. One party may wish things were different but may be faced with choosing avoidance, management, or resolution to deal with the internal conflict. A negative internal spiral may result when one-sided destructive conflict is avoided. For example, if you are on the losing side of a competitive interaction, you are left to resolve internal conflict. If you carry resentment or harbor anger and discomfort, you invite a personal negative spiral.

In resolving conflict, you have three potential goals: (1) try to change the other person; (2) try to change the situation; or (3) try to change yourself. Changing the other person is unlikely to work! Your focus should not be on the other person but on the other

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person's opinions and behaviors. You may develop your skills in understanding and communicating with the other person. Changing the situation, however, includes changing the perceptions, opinions, and behavior of the other. Changing yourself is to change your assessment, perception, and opinions and to accept the outcome.

Thus, with goal 1 being unrealistic, we are left with using negotiation and persuasion to accomplish goals 2 and 3. Developing an effective strategy requires a correct diagnosis of the nature, source, and effects of the conflict; consideration of the others involved; identification of your goals; knowledge of self; an appropriate style; understanding of perception and power; and the development of your personal techniques. When choices 1 and 2 are inappropriate or impossible, you are left with the third alternative, which may require that you alter your perception and understanding in accepting that not everything is negotiable.

### COMPLETING YOUR CONFLICT APPROACH ASSESSMENT AND PLAN

You are urged to reflect on the attitudes and behaviors of your immediate family members during your childhood and now. Using

#### EXHIBIT 3

#### Personal Summary of Conflict Approach Assessment and Plan

My attitude toward conflict is

Mostly positive \_\_\_\_\_ More negative than positive \_\_\_\_\_

Fairly to very negative \_\_\_\_\_

I plan to work toward having a more open and positive attitude toward conflict:

Yes \_\_\_\_\_ No \_\_\_\_\_

The conflict attitude of my immediate family during my childhood was

Mostly positive \_\_\_\_\_ More negative than positive \_\_\_\_\_

Fairly to very negative \_\_\_\_\_

The conflict strategy used most often in my immediate family during my childhood was

Avoidance \_\_\_\_\_ Management \_\_\_\_\_ Resolution \_\_\_\_\_

The conflict strategy used most often by the organizations with which I have been involved is/was

Avoidance \_\_\_\_\_ Management \_\_\_\_\_ Resolution \_\_\_\_\_

I regularly use systems thinking when diagnosing and analyzing conflict:

Yes \_\_\_\_\_ No \_\_\_\_\_

I plan to work toward using a systems approach in diagnosing and analyzing conflict:

Yes \_\_\_\_\_ No \_\_\_\_\_

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those reflections along with the results of the exercises done at the beginning of this chapter and your learning from this chapter, complete the personal summary of conflict approach assessment and plan presented in Exhibit 3.

### **PRACTICE**

Three brief problems are presented here for your practice in assessing conflict and the choice of conflict strategy. Following these problems, you will have an opportunity to tackle a substantial conflict diagnosis exercise presented in Case 1 at the end of the chapter.

#### **Problem 1**

Two work associates consistently differ in their approach and recommendations regarding systems utilized in the department and projects undertaken in the department.

Is this conflict constructive or destructive?

What would you do to discover destructive and constructive elements and effects?

Which strategy would you use—avoidance, management, or resolution?

**Tips:** Are they respectful and courteous in their disagreements? Does the conflict add information and enrich decisions? The destructive parts should be resolved. The constructive parts should be managed.

#### **Problem 2**

You have a dispute with a contractor. He refuses to take an action that he says is not required by the contract.

Is this constructive or destructive conflict?

What strategy will you use? Why?

**Tip:** If you avoid, the conflict will get worse. There appears to be no constructive portion to manage here. This conflict must be resolved.

#### **Problem 3**

You believe that your boss insulted you and placed you in a bad light in the eyes of your peers. You are livid.

## Conflict

Is this constructive or destructive conflict?

Which strategy will be most effective? Why?

**Tip:** You are probably best advised to avoid temporarily. Once you regain self-control, this conflict begs for resolution.

### Performance Checklist

- ✓ Conflict is inevitable and pervasive in all aspects of life. Conflict is both constructive and destructive. Approaches to conflict may be constructive and destructive. The existence of conflict is what precipitates efforts to negotiate and persuade.
- ✓ Most individuals have preexisting attitudes toward conflict that are either positive or negative and, therefore, constructive or destructive, respectively. One's attitude or approach affects choice of strategy.
- ✓ Conflict, chaos, and complexity theories assist in understanding conflict. Systems thinking is helpful for diagnosing conflict and in developing effective conflict strategies. It entails divergent thinking, open communication, and a search for interdependencies and interrelationships.
- ✓ Strategies for dealing with conflict include avoidance, management, and resolution. Goals of conflict resolution may be to change others, to change the situation, or to change yourself. Only the latter two are realistic but include changing the perceptions and opinions of others. Destructive internal conflicts require internal resolution. Interpersonal conflict is sometimes best avoided either temporarily or permanently. Constructive interpersonal conflict should be managed. Destructive interpersonal conflict should be resolved. A form is included at the end of this chapter (Exhibit 3) to summarize your conflict approach assessments. References to supplemental reading on the subject of conflict are contained in footnote 1 to this chapter.

### Key Terms, Phrases, and Concepts

Incompatibility

Perceived Interdependence

Aversive Drivelike State

## Conflict

Attitude/View

Approach/Style

Traditional View

Human Relations School of Thought

Interactionist View

Constructive and Destructive Conflict

Conflict, Chaos, and Complexity Theories

Systems Theory/Systems Approach

Sociogram

### Review Questions

Mark each of questions 1 through 5 as True (T) or False (F) and answer questions 6 through 10.

- T F 1. Systems thinking recognizes subsystems, interrelationships, and interdependence while maintaining a holistic approach.
  - T F 2. Systems thinking is divergent thinking.
  - T F 3. Divergent thinking entails multiple perspectives and might be viewed as multidirectional.
  - T F 4. Convergent thinking is focused on finding a single or best view or answer.
  - T F 5. Creativity is associated with divergent thinking and not with convergent thinking.
6. Develop a working definition of *conflict* in your own words.
  7. Describe the approach one should take in diagnosing conflict. How does your approach incorporate systems thinking?
  8. Identify two situations in which avoiding may be an appropriate or effective conflict strategy.
  9. Describe situations in which conflict may be best managed through compromise or collaboration.
  10. Identify one case or situation in which conflict may best be resolved through competition.

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### Case 1

American Dream Holdings, Ltd. (ADHL), is the 100 percent owner of eighty-eight subsidiary corporations, some of which operate in virtually every state of the United States and many of which operate in a limited number of states. One of the subsidiary corporations, EFC Corp., is the general partner of two thousand limited partnerships with operations scattered around the world. EFC Corp. is the flagship and largest of ADHL's subsidiary companies. ADHL also has 20 to 50 percent ownership interests in other business operations. ADHL is owned by two individuals: one, Mr. Major, with 80 percent, and the other, Mr. Minor, with 20 percent. The individual owners operate additional businesses not under the ADHL umbrella. Such additional businesses are considered affiliates. ADHL provides legal, financial, and administrative services including payroll and human resource management to all of its subsidiaries as well as to many affiliates. ADHL collects a monthly fee for such services. The fee is based on estimated needs for the services and is due regardless of the number of hours actually spent on a particular company's matters. ADHL does not assess or collect supplemental fees for work done in excess of the estimate. The group of eighty-eight subsidiaries and ADHL employ two thousand individual employees. All employees participate in the year-end bonus plan that is based upon group net profit attainment. The organizational structure including departmental organization is dictated by ADHL executives. The chief operating officer of ADHL, Ms. Iwon, was initially selected and hired by the 80 percent owner to be EFC Corp.'s senior vice president. EFC Corp.'s chief operating officer, Mr. Toolate, was selected and hired by the 20 percent owner approximately two months after Ms. Iwon was hired. Approximately one year after Mr. Toolate was hired, Ms. Iwon orchestrated a reorganization that included her being promoted to the parent holding company position. EFC Corp. is perpetually three months behind in paying fees to ADHL. EFC Corp. is recalcitrant in distributing financial reports to ADHL.

### Case Discussion Questions

1. Using a systems approach, identify the system or systems and their subsystems as well as the various relationships and interdependencies you see. You may utilize a drawing such as a sociogram if you like.

## Conflict

2. Using a systems approach, identify the various conflicts in the case including describing *how* each is a conflict. Be sure to note how each conflict you identify meets the definition of a conflict.
3. Continue your diagnosis and assessment by analyzing the function served by or the effect of each conflict in the case; assessing whether the system structure is competitive, avoidant, or collaborative; and determining your strategy and/or strategies.

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# Negotiation Style

From *Conflict Management: A Practical Guide to Developing Negotiation Strategies*. Barbara A. Budjac  
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# Negotiation Style

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

**“There are two statements about human beings that are true. That all human beings are alike and that all are different.”**

*Mark Van Doren*

- To learn the four major negotiation styles
- To learn how personality affects negotiation style
- To assess your natural and habitual negotiation styles
- To learn how to choose the appropriate style
- To identify steps toward developing effective negotiation styles

## Negotiation Style

Your general view of or attitude toward conflict affects your approach to negotiation. *Style* is the term used to describe your approach to a *particular* negotiation. That style is affected by your general approach to conflict as well as certain personality characteristics. Within styles of negotiation we see temperaments, which further refine styles in terms of more specific aspects of interaction. This chapter is devoted to negotiation styles.

The first section of this chapter contains four exercises to aid in assessing your negotiation style. Following those exercises, negotiation styles are discussed along with information for analyzing your evaluation results. The balance of the chapter addresses matters of choosing and developing effective negotiation styles.

### ASSESS YOUR NATURAL AND HABITUAL NEGOTIATION STYLES

#### Exercise 1

#### Free Money Exercise

##### SITUATION 1

Suppose that you and a friend are walking together. A stranger approaches you and offers to give the two of you one hundred thousand dollars. There are no strings attached. The only requirement, however, is that you have five minutes to decide how the two of you will share the money. If you cannot agree within five minutes, no money will change hands.

What is your impulse in response to situation 1? What is your concept of fairness? Does fairness enter into your thoughts at all? Do you offer to split the money equally?

What do you do if your friend objects to sharing the money equally? What if your friend says that she is in greater need of money and should, therefore, receive 75 to 80 percent, or all of the money? What if your friend is in dire need of that amount of money to pay a debt or to pay for urgent medical surgery? What if you are in dire need of the money?

Do your thoughts of fairness change in response to changed facts? Do you begrudgingly take whatever you can get? Do you adopt an even-split-or-nothing attitude?

## Negotiation Style

Make a note of your approach and performance:

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### **SITUATION 2**

Amend the scenario slightly. Suppose a stranger approaches you individually and says that he has just received a sum of money. The stranger further tells you that he must give you a portion of the money in order to keep any of it. The stranger refuses to tell you the total amount of money.

What is your first impulse?

In situation 2, do you immediately focus on the amount of money the stranger may be keeping, or is your first reaction to be happy with whatever amount you receive—even one dollar?

Make a note here of your approach and performance:

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We will revisit your responses later in this chapter. First, it will be useful to complete the questionnaire in Exercise 2. Assessing your natural negotiation style is a necessary step in developing effective, personalized negotiation strategies. Following the assessment, you will have the opportunity to consider aspects of your personality that impact your negotiation style.

### **Exercise 2**

#### **Negotiation Style Assessment Exercise**

Complete the assessment instrument in Exhibit 1. Then proceed through the chapter. Analysis of the results will be discussed later in the chapter.

## Negotiation Style

### EXHIBIT 1

#### Negotiation Style Assessment Instrument

You may use the following twenty-eight statements to assess your current negotiation style. You should undertake the assessment by first entering your responses in column A for your general assessment. Next, and prior to calculating any scores, cover your prior assessment answers and undertake the assessment four additional times, each time with a particular person in mind from different aspects of your life as reflected in the definitions for columns B, C, D, and E. Instructions for scoring and analyzing your results are provided at the end of the assessment exercise.

Use the scale of 1 to 5 that follows in recording your responses.

1 = never; 2 = seldom; 3 = occasionally; 4 = very frequently; 5 = always.

Column definitions: A: General assessment responding to your overall behavior  
B: A professional or business associate  
C: A social friend  
D: A family member  
E: A new acquaintance

#### Assessment Statements

E D C B A

1. Making people happy is a paramount goal in my interactions.
2. When my ideas differ from others' ideas, I argue for acceptance of mine.
3. When the other person says something to which I do not agree, I say "Maybe you are right" or "I don't know."
4. I am not reluctant to share information and expertise with others.
5. When I have the power to decide, I exercise my options without extended discussion.
6. When someone disagrees with me, I change the subject or say "Whatever" or "Okay."
7. It is important for me to know what others value and need.
8. If someone tells me he or she needs something from me, I rearrange things to get it to him or her.
9. If I want to pay \$100 and the other wants to receive \$200, my resolution is to offer to pay \$150.
10. I get uncomfortable when people get upset or disagree with me.
11. I think that information is power.
12. When someone proposes something different than what I have in mind, I find out more about that person's position.
13. When someone calls when I am in the middle of a project, I stop what I am doing and tend to his or her needs.
14. I think that most disagreements are contests over who is correct.

## Negotiation Style

### EXHIBIT 1 continued

#### Assessment Statements

E D C B A

15. When someone gets upset with me for something I said, I change my statement to make him or her feel better.
16. I find ways to make the other person happy while I still get my way.
17. I keep things to myself that I think will upset someone.
18. I will go to a restaurant to make the other person happy, even if I don't like the food there.
19. I enjoy letting others know the power I have.
20. When someone disagrees with me, I try to find out his or her reasoning.
21. I think it is advantageous for me when someone is afraid of me.
22. I try to structure my statements with the goal of winning the argument.
23. Giving others what they want is compatible with getting what I want.
24. I do things I don't want to do in order to keep things peaceful.
25. I feel bad when I disappoint the other person.
26. I think that both parties should give some when they disagree.
27. When I propose an idea to which the other person disagrees, I don't press the matter.
28. I think that differences of opinion or differences in what people want provide opportunities that help me.

#### Negotiation Style Assessment Instrument Scoring

Record your scores by question number and total as indicated in the following chart.

#### General Assessment from Column A

#3 \_\_\_ + #6 \_\_\_ + #10 \_\_\_ + #15 \_\_\_ + #17 \_\_\_ + #24 \_\_\_ + #27 \_\_\_ = Style A total \_\_\_

#2 \_\_\_ + #5 \_\_\_ + #11 \_\_\_ + #14 \_\_\_ + #19 \_\_\_ + #21 \_\_\_ + #22 \_\_\_ = Style C total \_\_\_

#1 \_\_\_ + #8 \_\_\_ + #9 \_\_\_ + #13 \_\_\_ + #18 \_\_\_ + #25 \_\_\_ + #26 \_\_\_ = Style AC total \_\_\_

#4 \_\_\_ + #7 \_\_\_ + #12 \_\_\_ + #16 \_\_\_ + #20 \_\_\_ + #23 \_\_\_ + #28 \_\_\_ = Style CC total \_\_\_

## Negotiation Style

### Assessment for Person B, Column B

#3 \_\_\_ + #6 \_\_\_ + #10 \_\_\_ + #15 \_\_\_ + #17 \_\_\_ + #24 \_\_\_ + #27 \_\_\_ = Style A total \_\_\_

#2 \_\_\_ + #5 \_\_\_ + #11 \_\_\_ + #14 \_\_\_ + #19 \_\_\_ + #21 \_\_\_ + #22 \_\_\_ = Style C total \_\_\_

#1 \_\_\_ + #8 \_\_\_ + #9 \_\_\_ + #13 \_\_\_ + #18 \_\_\_ + #25 \_\_\_ + #26 \_\_\_ = Style AC total \_\_\_

#4 \_\_\_ + #7 \_\_\_ + #12 \_\_\_ + #16 \_\_\_ + #20 \_\_\_ + #23 \_\_\_ + #28 \_\_\_ = Style CC total \_\_\_

### Assessment for Person C, Column C

#3 \_\_\_ + #6 \_\_\_ + #10 \_\_\_ + #15 \_\_\_ + #17 \_\_\_ + #24 \_\_\_ + #27 \_\_\_ = Style A total \_\_\_

#2 \_\_\_ + #5 \_\_\_ + #11 \_\_\_ + #14 \_\_\_ + #19 \_\_\_ + #21 \_\_\_ + #22 \_\_\_ = Style C total \_\_\_

#1 \_\_\_ + #8 \_\_\_ + #9 \_\_\_ + #13 \_\_\_ + #18 \_\_\_ + #25 \_\_\_ + #26 \_\_\_ = Style AC total \_\_\_

#4 \_\_\_ + #7 \_\_\_ + #12 \_\_\_ + #16 \_\_\_ + #20 \_\_\_ + #23 \_\_\_ + #28 \_\_\_ = Style CC total \_\_\_

### Assessment for Person D, Column D

#3 \_\_\_ + #6 \_\_\_ + #10 \_\_\_ + #15 \_\_\_ + #17 \_\_\_ + #24 \_\_\_ + #27 \_\_\_ = Style A total \_\_\_

#2 \_\_\_ + #5 \_\_\_ + #11 \_\_\_ + #14 \_\_\_ + #19 \_\_\_ + #21 \_\_\_ + #22 \_\_\_ = Style C total \_\_\_

#1 \_\_\_ + #8 \_\_\_ + #9 \_\_\_ + #13 \_\_\_ + #18 \_\_\_ + #25 \_\_\_ + #26 \_\_\_ = Style AC total \_\_\_

#4 \_\_\_ + #7 \_\_\_ + #12 \_\_\_ + #16 \_\_\_ + #20 \_\_\_ + #23 \_\_\_ + #28 \_\_\_ = Style CC total \_\_\_

### Assessment for Person E, Column E

#3 \_\_\_ + #6 \_\_\_ + #10 \_\_\_ + #15 \_\_\_ + #17 \_\_\_ + #24 \_\_\_ + #27 \_\_\_ = Style A total \_\_\_

#2 \_\_\_ + #5 \_\_\_ + #11 \_\_\_ + #14 \_\_\_ + #19 \_\_\_ + #21 \_\_\_ + #22 \_\_\_ = Style C total \_\_\_

#1 \_\_\_ + #8 \_\_\_ + #9 \_\_\_ + #13 \_\_\_ + #18 \_\_\_ + #25 \_\_\_ + #26 \_\_\_ = Style AC total \_\_\_

#4 \_\_\_ + #7 \_\_\_ + #12 \_\_\_ + #16 \_\_\_ + #20 \_\_\_ + #23 \_\_\_ + #28 \_\_\_ = Style CC total \_\_\_

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Adapted in part from M. A. Rahim and N. R. Mager, "Confirmatory Factor Analyses of the Styles of Handling Interpersonal Conflict: First-Order Factor Model and Its Invariance across Groups," *Journal of Applied Psychology* 80, no. 1 (1995): 122-32.

## Negotiation Style

### Exercise 3

#### A Game

This game will provide further information with which to assess your natural tendencies and habits in connection with negotiation style. The game is played with a group of people. A minimum group size of ten people is preferable. There must be a moderator. The moderator selects as many numbers as there are people playing and secretly assigns values to the numbers. Each player randomly draws a number out of a hat. The relative values of the numbers are not known because the values assigned are not known; that is, no one knows whether he or she holds a high or low number. The theoretical prize is the value of the paper drawn. *But*, in order to win anything, there is one requirement. That requirement is to establish a partnership with *at least* one other player. Any player who fails to establish a partnership is out of the game. No one is permitted to show another the paper drawn. It is permissible to tell another person what was drawn, but there cannot be verification of truth by looking at the paper. Each pair or group of partners is to determine its sharing agreement. Partners may agree that each will collect the amount represented by his or her individual number, or they may agree to share in any other manner. Each partner must decide with whom to form a partnership, whether or not to disclose his or her number, and whether or not to believe disclosures made to him or her.

Make a note of your approach and performance in the game:

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#### ANALYSIS OF GAME OUTCOME

Your approach to this game may provide information about your degree of competitiveness or cooperation in negotiation as well as your tendencies toward being general or specific in negotiation. In addition to your self-assessment, you should ask for your partner's perceptions of your approach.

## FOUR MAJOR NEGOTIATION STYLES

In this section, we review the four major styles of negotiation along with how certain aspects of your personality may affect your tendencies toward one or more of them.

### AVOIDANCE

**Avoidance** is a potential goal or strategy in addressing conflict. Avoidance is also a negotiating style. Avoidance is retreating or withdrawing. It is failing to engage. It may be to ignore the existence of a conflict in its entirety. Avoidance may be, however, total or partial. That is, one might seek to negotiate but not be able to bring oneself to address the substance of the conflict toward resolution.

A major deficiency of avoiding is that it causes missed opportunities and missed benefits. With no engagement, there can be no resolution. With avoidance, you avoid getting what you want. The approach ignores a search for common ground and mutually beneficial exchange.

Behavior that exemplifies the avoidance style includes sulking, making sarcastic comments, holding in your true feelings, or refraining from talking about a matter. If your general attitude toward conflict is relatively negative, you may be prone to the avoidance style in negotiation. If in situation 1 of Exercise 1, the Free Money Exercise, your impulse was to say nothing and let the other person make the sharing decision, you exhibited avoidance behavior. If your conduct was similar in Exercise 3, A Game, in that you found it difficult to initiate partnership discussions or did not express your feelings, you exhibited avoidance behavior.

One aspect of personality that may have some relationship to this negotiation style is locus of control. If you have a relatively high external locus of control, that aspect of personality may present obstacles in confronting conflict. If you believe that you cannot affect outcomes, you are less likely to try. A low level of assertiveness may also trigger avoidance behavior.

### ADVERSARIAL/COMPETITIVE

The **adversarial** or **competitive** style of negotiation is a win/lose approach. Along with this style usually comes difficulty in refraining



## Negotiation Style



from engaging at every conflict opportunity. Underlying the competitive approach is a perspective that resources are limited—a zero-sum perspective. The competitive style may range from mildly adversarial to extremely aggressive.

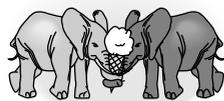
A primary deficiency of a competitive approach is that one party loses. It may be you! Furthermore, a focus on winning or being correct is likely to cause one to miss information and possibilities that may, in fact, be self-beneficial.

Behavior that exemplifies the competitive style includes making remarks with no regard for the other's feelings or position, always having a retort, refusing to back down, discussing differences in front of other uninvolved people, belittling the other, using accusatory language and power-over tactics, having no regard for the interests or goals of the other, and manipulation. It is characterized by criticizing, defensiveness, stonewalling, and contempt on both sides. This style is self-centered. If this style continues far enough on the continuum, other behaviors may include trickery and even violence.

A negative attitude toward conflict generally may tend toward either an avoidance style or a competitive style—or both. You may avoid when you think you cannot win, and you may engage in every opportunity for a contest. If in situation 2 of Exercise 1, the Free Money Exercise, your goal was to get your share of the money without regard to the needs expressed by your friend, you exhibited a competitive style. If your conduct in Exercise 3, A Game, focused on trying to get the most that you could to the exclusion of considering options, you exhibited competitive behavior.

If you assess yourself high on the Type A personality characteristic of competitiveness, you may be prone to the competitive style of negotiation. Other personality characteristics that may influence a tendency toward this style include a high need for personal power, a high need for achievement, and a high level of Machiavellianism. Another flag for your consideration is your assessment on emotional stability. Those with a low level of emotional stability are more likely to lose their temper and lose control generally. A loss of control and a high level of anxiety may make things ripe for adopting a win/lose approach.

### ACCOMMODATING/COMPROMISING



The **accommodating** or **compromising** negotiation style is to give up part of what you want at the request of the other. It is a middle-of-the-road approach focused on meeting the needs of others without

## Negotiation Style

totally giving up one's own needs. It can be closely related to avoidance; that is, giving in without considering other, more creative options is to avoid negotiating further. Compromising is giving in. It is distinctly different than collaborating, which is explained in the next section of this chapter. It is not unwise to prepare a compromise position as a backup, provided that such position is nevertheless better than your nonnegotiated alternatives.

Behavior that exemplifies this style is splitting the difference and agreeing openly while being internally dissatisfied. If your natural style of negotiation tends to be compromising, you may have a relatively neutral view toward conflict generally. If in Exercise 1, the Free Money Exercise, your impulse was to share equally or to allow your friend in need to take the greater share, you exhibited the compromising negotiation style. If your conduct was similar to that in Exercise 3, A Game, you exhibited avoidance behavior.

Two aspects of personality that may be related to this style are the need for affiliation and an external locus of control. Those with a high need for affiliation are drawn to satisfy the needs of others. A very high external locus of control combined with a high need for affiliation would be consistent with wanting to please and believing that one could not do better anyway.

### COOPERATIVE/COLLABORATIVE

The difference between compromise and **cooperative** or **collaborative** negotiation is that in compromise you are giving up something while in cooperation you are finding a way to get the other person *and* yourself what you *both* want. This type of negotiation is consistent with a win/win approach—seeing the possibility of a second pie or, perhaps, a cake! It is the opposite of a zero-sum approach. This style entails collaborating creatively to meet mutual goals.

Key behaviors that exemplify this approach are listening and expressing your feelings and desires. If your general attitude toward conflict is positive, you are likely to be able to adopt a collaborative style. If in Exercises 1 and 3 you tried to find mutual satisfaction, you exhibited a collaborative style.

A strong internal locus of control and a feeling preference are personality characteristics that serve this style well, because they are consistent with finding a solution and considering the views of others, respectively. Type B personalities will typically be more comfortable with this style than will Type A personalities. Other personality characteristics helpful in developing this style include

**“Compromise makes a good umbrella, but a poor roof; it is a temporary expedient, often wise in party politics, almost sure to be unwise in statesmanship.”**

*Lowell*



## Negotiation Style

high emotional stability and a high need for achievement, provided that they are not combined with a high level of competitiveness. A high need for social power is also naturally consistent with a collaborative style.

### DISTRIBUTION VERSUS INTEGRATION

Conflict approaches and negotiation styles may also be understood in the context of distribution and integration. **Distribution** is allocating limited resources or limited benefits. **Integration** is to remove limitations. They may be best understood by examining the underlying perspective of each. A distributive style incorporates an underlying view that needs and goals of the parties are incompatible. An integrative style incorporates an underlying view that needs and goals of the parties are different. Perhaps both parties do not want to share the pie. Perhaps one party prefers cake. The first views the glass as half empty, while the latter views the glass as half full. An integrative style entails open thinking that facilitates finding mutual satisfaction.

Competition and compromising negotiation styles are distributive in nature. Collaborative negotiation is integrative. Integration is more difficult than competing or compromising. Integration requires an open mind and some creativity.

### ANALYZING ASSESSMENT RESULTS

In Exercise 2, which includes the Negotiation Style Assessment Instrument, the style designations represent the four major styles discussed. The letter A is avoidance; the letter C is competitive; the letters AC designate accommodating/compromising; and the letters CC designate cooperative/collaborative.

Review the scores for A, C, AC, and CC on the assessment instrument relative to each other. If you find that your highest score across all five assessments is consistently one type, that style represents your primary or dominant negotiation style. If your high score varies among the five assessments, the results indicate that you use different styles with different persons or in different areas of your life.

## Negotiation Style

In each case, analyze why you use a particular approach. There may indeed be sound reasons for variations across assessments. Relative values and goals often affect choice of appropriate style.

Prior experiences and behavior modeled by significant others also impact negotiation style tendencies. Evaluate how your family history, your family's approach to conflict, and your work experiences compare with the results of your assessments.

A frequent use of avoidance or compromise may also stem from unassertiveness. In a different way, a competitive style is also unassertive.

Now review your learning thus far and complete the profile form presented in Exhibit 2. The form provides a place to summarize your assessments from all of the preceding exercises in this chapter, as well as to record a few related personality factors noted in the previous sections of this chapter.

### CHOOSING THE APPROPRIATE STYLE

Often all four styles will be used within one negotiation. In complex matters containing many issues, you may compromise on certain pieces while using collaboration as your primary style to satisfy the primary, or overall, needs and wants of both parties. There may be some issues not important in the overall goal that are too hot to negotiate and that you will, therefore, avoid. There are, however, relatively few situations for which the competitive style would be the best choice. The collaborative style is usually the most effective choice. We use contingency theory to aid in the choice of style in the next section of this chapter.

Avoiding may be most effective when emotions are high or when the matter in conflict is trivial or of low value relative to the likely cost of engaging the other person. If, for example, your boss has said to you that if you say one more word you will be fired, avoidance may be the appropriate choice! The problem with avoidance is that, by definition, there will be no resolution or agreement.

A competitive style may be appropriate in an emergency, particularly if you have special expertise that will save others from harm. This style may also be appropriate when there is no relationship between the parties and you are aware that the other party is clearly competing. An example would be buying an automobile. Sometimes a competitive style is expected and is the only realistic option.

#### KEY POINT

There is no single negotiation style that is most appropriate across every negotiation.

## Negotiation Style

### EXHIBIT 2

#### Profile of Negotiating Style Assessment

In Exercise 1, the Free Money Exercise, my attitude and/or behavior were

Avoidant \_\_\_ Competitive \_\_\_ Accommodating/compromising \_\_\_ Collaborative \_\_\_

In situation 2, my attitude and/or behavior were

Avoidant \_\_\_ Competitive \_\_\_ Accommodating/compromising \_\_\_ Collaborative \_\_\_

In exercise 3, A Game, my attitude and behavior were

Avoidant \_\_\_ Competitive \_\_\_ Accommodating/compromising \_\_\_ Collaborative \_\_\_

My dominant style assessment was

In general: Avoidant \_\_\_ Competitive \_\_\_ Accommodating \_\_\_ Collaborative \_\_\_

In business: Avoidant \_\_\_ Competitive \_\_\_ Accommodating \_\_\_ Collaborative \_\_\_

In social setting: Avoidant \_\_\_ Competitive \_\_\_ Accommodating \_\_\_ Collaborative \_\_\_

In family: Avoidant \_\_\_ Competitive \_\_\_ Accommodating \_\_\_ Collaborative \_\_\_

With a stranger: Avoidant \_\_\_ Competitive \_\_\_ Accommodating \_\_\_ Collaborative \_\_\_

My locus of control is distinctly External \_\_\_<sup>A AC</sup> Internal \_\_\_<sup>CC</sup>

My need for affiliation is High \_\_\_<sup>AC</sup> Moderate or Low \_\_\_

My Type A competitiveness is High \_\_\_<sup>C</sup> Moderate or Low \_\_\_

My need for personal power is High \_\_\_<sup>C</sup> Moderate or Low \_\_\_

My need for social power is High \_\_\_<sup>CC</sup> Moderate or Low \_\_\_

My need for achievement is High \_\_\_<sup>C</sup> Moderate or Low \_\_\_

My emotional stability is High \_\_\_<sup>C</sup> Moderate or Low \_\_\_<sup>C</sup>

My creativity is High \_\_\_<sup>CC</sup> Moderate or Low \_\_\_

I have a feeling preference. Yes \_\_\_<sup>CC</sup> No \_\_\_

<sup>A</sup> May relate to avoidance style

<sup>C</sup> May relate to compromise style

<sup>AC</sup> May relate to collaborative style

<sup>CC</sup> May relate to competitive style

## Negotiation Style

Accommodating, or compromising, sometimes is the best option presented. If no better option is available and a nonnegotiated option is not better, then compromising is appropriate. This style may also be appropriate when the relationship between the parties is more important than the issues. As noted earlier, it is also sound practice to hold a compromise position as a next-to-best last resort.

There is rarely a case for which collaboration is not the most effective style. The difficulty with collaboration is that it requires the most creativity and the most effort. Furthermore, for some people, it will feel out of character.

Your natural negotiation style is strongly influenced by your view of conflict and your personality. If you see negotiation as conflict, see conflict as negative, and score relatively high on Type A - competitiveness, for example, you may engage unwittingly in competitive and avoidant styles. The goal is to understand your tendencies and develop your personal style.

As you completed the assessment instrument presented in Exercise 2, you may have found that your style varies from person to person or situation to situation. This may be the result of personality tendencies and habit or conscious choice. We discuss later how to make a conscious, effective choice consistent with your personality and temperament.

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### CONTINGENCY THEORY

**Contingency theory** is a term used to refer to a broad base of literature that addresses contextual factors influencing organization structure and management. It is, however, helpful in analyzing negotiation styles and strategies. Just as in organizational management, negotiation entails a myriad of factors—contextual, situational, factual, and interpersonal. The appropriate strategy, style, and tactics are contingent on the mix of those factors.

Also consistent with contingency theory is the notion of anticipating change and adapting to change. Such is the case with negotiation. While it is necessary to plan, it is critical to remain flexible and to understand how to react to unanticipated factors. Flexibility will feel natural to those with a perceiving preference. Those with a judging preference are likely to be more resistant to flexibility. The contingency analysis of negotiation is summarized in the following section.

## DEVELOPING EFFECTIVE STYLES

Using the appropriate option requires knowledge and development of self and evaluative thought regarding the particular people and circumstances involved. Two vignettes follow for your practice in evaluating style choice.

### PRACTICE

#### Retrospective Vignette 1

Think of an occasion when someone interacted with you in a competitive manner. Try to reconstruct the sequence of events, conversation, and emotions. Was the style appropriate in the circumstances? What happened? Was any common ground found? Were additional issues discovered? Did you give the person what he or she wanted? Was the style effective in solving a problem? What effect was there on the relationship?

#### Retrospective Vignette 2

Think of another occasion when you interacted with someone in a competitive manner. Again, try to reconstruct the entire scene. How did it go? Was your style appropriate? Did you get what you wanted? Was another style more appropriate on retrospection?

## LEARNING CREATIVITY

It is worth noting again that the collaborative style is most often the best choice, particularly in the long term. Personal characteristics conducive to a collaborate approach include high emotional stability, high need for social power, high internal locus of control, a feeling preference, and creativity. It is possible to develop any behavior characteristic including emotional stability and creativity.

Those with an intuitive preference, as well as assimilators and divergers, may find it easier to tackle building creativity. Among the things you can do to increase your creativity are to work cryptograms or to develop them. You may also build your creativity by challenging your assumptions every day. Look for different meanings in old things and places. As you review your interpersonal interactions and prior negotiations, consider what you might have done differently. Evaluate the effectiveness of your course of action. Be open. Be optimistic.

## **DYNAMIC INTERACTION AMONG PERSONALITY, INTERESTS, GOALS, CONTEXT, AND OTHERS**

The optimum negotiation strategy will be determined by the dynamic interaction of each party's unique personality, style of interaction, temperament, perception of the other's style and temperament, perception of the issues in conflict, culture, values, needs, goals, powers, time constraints, expertise, and preparation. The first two have been addressed in this chapter. Your unique personality pervades each of these items. Your self-knowledge will aid you in developing alternative styles as well as in using your natural style to its optimum. Creativity will always help you to find a mutually satisfying agreement.

### **Performance Checklist**

- ✓ The four major negotiation styles are avoiding, competing, accommodating/compromising, and cooperating/collaborating. Competing and compromising are distributive in nature, and collaborating is integrative.
- ✓ Personality affects an individual's comfort with particular styles. The personal attributes of emotional stability, internal locus of control, feeling preference, and creativity are particularly helpful in collaborative negotiation. An external locus of control may be associated with the avoidance style. High needs for personal power and achievement as well as high Machiavellianism and low emotional stability may be associated with a competitive style. High need for affiliation and external locus of control may be associated with a compromising style.
- ✓ Most individuals have a natural or habitual predominant style. Your personal assessment done in Exercise 2 should demonstrate your predominant style.
- ✓ Each of the four styles is appropriate at times. The choice depends upon relative interests, goals, values, and personality fit. The collaborative style is usually most effective.
- ✓ Practicing applying your learning from this chapter is a step toward developing effective negotiation strategies.

## Negotiation Style

### **Key Terms, Phrases, and Concepts**

Avoidance

Adversarial/Competitive

Accommodating/Compromising

Cooperative/Collaborative

Distribution

Integration

Contingency Theory

### **Review Questions**

Mark each of questions 1 through 4 as True (T) or False (F) and answer questions 5 through 10.

- T F 1. Avoidance is sometimes the most effective style.
- T F 2. An adversarial style is sometimes most appropriate.
- T F 3. A competitive style and approach limit solutions.
- T F 4. A negative attitude toward conflict is most closely associated with the avoidance and competitive styles.
- 5. Think about why collaborating is the most difficult.
- 6. Think about why collaborating is most often the most effective style to use.
- 7. Think about what steps you may take and what plan you develop to increase your creativity.
- 8. Why would increasing your creative skill increase your negotiation effectiveness?
- 9. Identify at least two of your personality characteristics that will assist you in performing effective negotiation.
- 10. Identify at least two of your personality characteristics that will require your focused attention and/or control in order to increase your negotiation effectiveness.

### **Case 1**

You (or your company) desire to purchase a business. Assume that there exists adequate external support for a purchase price value of between two and three times annual earnings.

## Negotiation Style

### **Case Discussion Questions**

1. Which negotiation style would you choose?
2. Why is that style appropriate?
3. What factors and issues can you think of that may facilitate a collaborative style?

### **Case 2**

You desire your work team to complete a project within the next two weeks. Doing so will necessitate a great number of extra hours. In the past, all of the individuals involved have expressed dislike for overtime and have gone to great lengths to avoid it.

### **Case Discussion Questions**

1. Which negotiation style would you choose?
2. Why is that style appropriate?
3. What factors and issues can you think of that may indicate that a collaborative style would be effective?

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# Key Negotiating Temperaments

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# Key Negotiating Temperaments

"If I knew you and you  
knew me,  
If both of us could  
clearly see,  
And with an inner  
sight divine  
The meaning of your  
heart and mine,  
I'm sure that we would  
differ less,  
And clasp our hands in  
friendliness,  
Our thoughts would  
pleasantly agree  
If I knew you and you  
knew me."

*Nixon Waterman*

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn how your personality affects your negotiating temperament
- To learn the four key negotiating temperaments
- To identify behavioral expectations associated with each negotiating temperament
- To assess your unique negotiating temperament

## Key Negotiating Temperaments

A person's negotiating success depends upon an accurate understanding and use of his/her own unique personality type and style of interaction as well as an accurate perception and understanding of the other's personality and style. This chapter discusses combinations of particular personality characteristics that combine into four major negotiation temperaments. We discuss how personality and temperament differences present challenges in the negotiation process and how to recognize behavior characteristics of the four major temperaments.

### CATEGORIZING PERSONALITIES

At first it may seem inconsistent to say that we are each unique while at the same time to say that we can identify personality types. To be certain, each of us is a unique package of traits, characteristics, experiences, and perspectives. Further, there are no absolutes in the facets used here. We focus on specific facets of personality that, in combination with each other, can be understood as an individual's negotiation temperament. The temperaments described here are not to be interpreted as descriptive of an individual's entire personality.

Everyone possesses and exhibits each facet from time to time and to some extent. Preferences may also change with environment, effort, and maturity. People may utilize various traits according to need and circumstances. Caution is advised in making sweeping or immutable generalizations of people. Nonetheless, much complexity and diversity can be understood by studying and understanding basic interaction temperaments. Those temperaments reflect a core of characteristics that affect perceptions and behavior. Even though no two people are precisely the same, that core regularly presents itself in human interaction.

Whether we like to admit it or not, we categorize people regularly—both strangers and those we know. Expressions such as “slow,” “bigmouthed,” “uptight,” “laid-back,” “control freak,” to name a few, may sound familiar. Perhaps the most interesting aspect of categorizing people is that our categorization of others is affected by and reflects on who we are. In fact, we are most likely to label those most different from us.

Often, we label people quickly. We also label people based upon accumulated experience with them. We all come to know what to

## Key Negotiating Temperaments

expect from people with whom we often interact, and we conduct ourselves accordingly in an effort to maximize our satisfaction and happiness. In the negotiating arena, we must do the same thing; however, at least in the formal setting or in negotiating with someone we just met, we are not afforded the time to accumulate experience with that person. Rather, at the negotiating table we must quickly recognize and adapt to the personality with whom we must deal. Knowledge of personality and the dimensions of human behavior inherent in temperament provides the power to interact effectively.

**“ . . . Let people be different.”**

*David Grayson*

Personality typing, or labeling, is not negative. There are no good or bad personality types.<sup>1</sup> Typecasting is a method to celebrate and creatively use differences between people. In fact, typecasting removes negative assumptions and attitudes, replacing them with a constructive understanding, thereby enhancing communication. Thus, it enables one to resist the tendency to view certain behavior of others as intentionally personal or offensive. Increased knowledge and understanding help us to control our own behavior so that we may reach our negotiation goal.

## FOUR MAIN ALTERNATIVE PREFERENCES

According to psychological theory—most preeminently Carl Jung, we each possess preferences in four key areas of personality.<sup>2</sup> Those areas describe our personal source of energy—extroversion/ introversion, the way we take in information—sensing/intuiting, the way we process information—thinking/feeling, and the way we structure and interact with the outside world—judging/perceiving. The possible combinations of those four preferences create sixteen personality types.<sup>3</sup> Fortunately, we can condense the task here to understanding how to recognize two preference areas, or four combinations, in others and how to deal with four key negotiating temperaments.

Our personal source of energy is easily kept secret from those who do not know us well. Our way of thinking, likewise, is difficult

<sup>1</sup> All types of pathologies and personality disorders are excluded from the discussion here.

<sup>2</sup> “Personality” provides explanation of each facet of personality addressed here.

<sup>3</sup> Jung’s original theory (1968) described extroversion and introversion so profoundly different from each other as to analyze each of the other preference areas under the umbrellas of extroversion and introversion. Thus, Jung analyzed eighteen personality types.

## Key Negotiating Temperaments

for others to assess. While extroverts and introverts often experience communication difficulties, those two areas of personality are not critical in identifying primary negotiating temperaments of others. However, your level of extroversion or introversion, as well as your preference for thinking or feeling, will help in understanding your *own* behavior. Here we look at the second and fourth preference areas.

The way we take in information and the way we interact with the outside world are evident in key negotiating temperaments. It can become fairly easy to identify another's preference for taking in information. The way we interact with our outside world is the most difficult preference to hide from others. In this chapter we look at the four combinations of sensing/intuiting (S/N) and judging/perceiving (J/P) and how they present themselves in negotiation. You will learn how to identify those preferences and how to improve your negotiating skill with that knowledge.

### PERCEIVING OTHERS

**Perception** is a process of active participation. Individuals select and organize stimuli differently and categorize and interpret differently. Here we briefly touch on differences in selecting stimuli. Sensors prefer precision and detail, while intuitors prefer abstraction and generality. Thus, they see and perceive differently. A sensor would see trees where an intuator would see a forest.

What is sometimes viewed as an offensive or difficult behavior is merely a reflection of a personality comprised of components opposite to one's own. Sensors and intuitors see different things, and judges and perceivers approach the world and interact in different ways. Judges reveal their position and opinions while perceivers do not. Judges anticipate and expect decisions while perceivers defer decisions. Abstraction and distraction to one are reflection and interrelating to another. While one responds to approaching deadlines (judge), another sees no date or end at all (perceiver). Annoying detail to one (an intuator) is the tangible substance of importance to another (a sensor). What is justice to one (a thinker) is relative and subjective to another (a feeler).

We tend to expect others to be like us. Our expectations affect our perceptions, and our perceptions affect interpretation and assignment of meaning. Attempts to communicate without recognizing these differences can lead to frustration and even anger. We tend

#### KEY TERM

**Perception**  
is the selection  
and organization  
of stimuli.

## Key Negotiating Temperaments

to take offense when someone does not act as we expect. Understanding our opposites will change our expectations of others and enhance communication. To be effective in negotiation, you must recognize and relate to people who see the world through lenses different from your own, who gather and process information in a manner different from your own, and whose values and needs are different from your own.

### BEHAVIOR EXPECTATIONS

Research has demonstrated that one or two key traits are most determinative of how a person interacts with others. These characteristics of interaction have been referred to as *temperament*.<sup>3</sup>

The single most important trait affecting interpersonal interaction is how a person takes in information. We regularly hear expressions of the communication difficulty presented by conflicting traits. For example, how often have you said, “I don’t know where you’re coming from”? If two people are not “reading off the same page,” how can they have a meaningful discussion or come to agreement? Therefore, it is most helpful to know whether a person is a sensor or an intuitor. The other of the two key traits most relevant to negotiation interaction is how a person relates to the world, or his or her lifestyle orientation—the judger versus perceiver preference.

In negotiation, before agreement we need a meeting of the minds. We must know what each side has communicated. We must ensure that we are working on the same issues, and we must relate our positions and decisions to each other in a way that will be understood. Only then may there be agreement.

The more we know about the other preferences and other aspects of personality, the better will be our ability to be effective. It is noted that the four negotiating temperaments we discuss do not fully describe all human temperaments because the interplay of the other two preference categories and other characteristics have significant effect on an individual’s total personality and temperament. Nevertheless, a closer look at the two key preference categories provides a great deal of information for negotiation effectiveness.

<sup>3</sup> Other behaviorists and psychologists have analyzed personality traits in terms of temperaments (see, e.g., Keirse and Bates 1978). The organization and analysis here differ from the general literature on temperaments.

## FOUR KEY NEGOTIATING TEMPERAMENTS

The sections that follow present profiles of four negotiating temperaments, how to recognize them, how they are typically perceived, and what behavior to expect from each. If you can develop your knowledge as well as your listening and observation skills adequately to recognize one or two of the key preferences in others, you will be able to interact more effectively in the negotiation process.

### HARMONIZER (PACIFIER)

The **harmonizer** is the intuitive-perceiving (N/P) combination. The harmonizer sees the big picture and approaches problems with a broad perspective, organizing information into concepts and theories. Harmonizers have a tendency to discuss multiple issues together or move freely from one to another, because they see the interrelatedness of matters in their search for meaning and a grand scheme.

It is nearly impossible to get the harmonizer to focus on details, unless you can appeal to his or her need for harmony or elevate the details to an adequate level of importance in the grand scheme. It is difficult to disagree with the harmonizer due to his or her usually excellent persuasive ability and ability to generate creative alternatives. It is also tough to pressure harmonizers, because they tend to defer decisions and are not pressured by time deadlines. It is usually possible to distract a harmonizer and move to a different issue when something is moving in the wrong direction.

The harmonizer shares perceptions without making or looking for judgment. Miscommunication can occur if these perceptions are considered as decisions. Many harmonizers openly demonstrate their concern for others and may even take criticism personally. Others appear more aloof.

The best way to get along with a harmonizer is to show appreciation for his or her creative concepts and alternatives and to propose an equally broad alternative theory. Harmonizers are probably most easily recognized at the negotiating table by their general, theoretical, and open-ended approach.

The harmonizer may, either when out of control or as an intentional maneuver, become the **pacifier**. Once the pacifier shows up at the negotiating table, there is not likely to be resolution.



## Key Negotiating Temperaments

### CONTROLLER (BULL)



The **controller** is the intuitive-judging (N/J) combination. The controller, due to his or her intuitive preference (like the harmonizer), also sees the big picture and approaches problems with a broad perspective, organizing information into concepts and theories. Although as the controller takes in information he or she sees the interrelatedness of matters in a search for meaning, the controller's need for closure causes him or her to remain focused on the topic or task at hand rather than becoming scattered or leaving loose ends.

The controller has an organized plan and is impatient for decision and resolution. The controller is firm, decisive, and deliberate. These negotiators thrive on structure and order, possess stubborn resolve in the *rightness* of their positions, and want things their way.

Even though controlling, these individuals do not seek conflict but seek harmony or, at least, calm. Many of them also have a desire to help others. However, since controllers hold strong opinions, they can become (or appear to be) argumentative.

Miscommunication or disagreements can quickly escalate with a controller. They have a tendency to view things as fixed, right-wrong, and black-white. In communicating with a controller, it is best to allow time for him or her to moan in private as alternatives are introduced. The best way to get along with a controller is to evidence a desire to come to agreement. Controllers are probably most easily recognized at the negotiating table by their sense of the big picture combined with their resolve.

The controller, when out of control, may become the **bull**. Once the bull appears, there is likely to be no resolution.

### PRAGMATIST (STREET FIGHTER)



The **pragmatist** is the sensing-judging (S/J) combination. The pragmatist sees details, focuses on specifics, and approaches things sequentially. Pragmatists take things literally rather than conceptually. They like facts and figures as well as concrete, tangible results. They are practical, realistic, and bottom-line oriented. One is often able to deduce their conservative financial philosophy.

Pragmatists view themselves as objective. Like the bull, they are organized and impatient for resolution. Pragmatists are also

## Key Negotiating Temperaments

firm, decisive, and deliberate—possessing stubborn resolve in their positions.

Given their difficulty in seeing the big picture, their focus on details, and their determination to be *right*, pragmatists can usually see little reason for accepting alternatives or giving concessions. Disagreements with the pragmatist can quickly escalate, and the pragmatist can become abrasive and argumentative.

Either due to loss of control or as an intentional maneuver, the pragmatist turned **street fighter** views the negotiation as a win/lose proposition. The street fighter wants to win at all cost.

The best way to get along with the pragmatist is to utilize facts and figures and to demonstrate a concern for the bottom line. The best way to deal with the street fighter is to allow him or her time to cool off. Pragmatists are relatively easy to spot by their focus on details combined with stubborn resolve.

### ACTION SEEKER (HIGH ROLLER)

The **action seeker** is the sensing-perceiving (S/P) combination. The action seeker sees details, looks at specifics, and approaches things sequentially. Action seekers also take things literally rather than conceptually.

Action seekers avoid both theory and planning. They are *not* impatient for resolution. Although they are able to defer decisions and adapt to new information, they do have a strong sense of the here and now. They are hands-on people.

Action seekers are spontaneous and action-oriented and seek thrills and gratification. They may allow excitement to take precedence over careful thought. Thus, when action seekers go out of control, they may either win or lose *big*.

In communication, remember that action seekers often share perceptions that may sound like but that are *not* judgments or decisions. The best way to communicate with the action seeker or the **high roller** (the action seeker out of control) is to utilize facts and figures and to occasionally encourage him or her to discuss personal interests in order to tone down the runaway enthusiasm.

Since they do not thrive on order or completion, action seekers can be easily distracted. Action seekers disdain rules, and they are unpredictable. In addition to recognizing their detailed approach, you can spot an action seeker by some hyperactivity.



## **OTHER INDICATIVE AND RELATED FACETS OF PERSONALITY**

Due to the complexity of personality, it is helpful to consider other facets of personality that may be related to negotiating temperament. As stated elsewhere in this book, right-brain/left-brain dominance is related to learning style and to the sensing/intuiting preference. Right-brain dominance is related to the intuiting preference, while left-brain dominance is related to the sensing preference. The accommodator style of learning is associated with sensing (and with extroversion), while the assimilator style of learning is associated with intuiting (and with introversion).

There may be a similarity between a high level of conscientiousness and judging preference (J) behavior. Similarly, Type A personality characteristics may exhibit themselves as similar to judging preference (J) behavior.

Emotional stability, competitiveness, the need for power, the need for affiliation, the need for achievement, and the other two learning styles of converging and diverging may also relate to negotiation temperament when combined with other facets. Those potential effects are noted in the assessment section that follows.

## **ASSESSING YOUR PRIMARY NEGOTIATING TEMPERAMENT**

You should utilize your personality assessments completed elsewhere in this book along with the preceding temperament profiles to fully analyze your primary negotiating temperament. You may find that you relate somewhat to more than one temperament. If you score high in self-monitoring, you may think that you see yourself in all four temperaments. It is important to assess your primary, natural, negotiating temperament. It is easier and more effective to utilize what comes naturally, and it is what comes naturally that takes over when we are under distress or out of control. Knowing how you will behave is necessary to developing effective strategies.

To find your primary temperament, focus first on the manner in which you take in information. Consider your right-brain/left-brain dominance, learning style, and sensing/intuiting to determine your preference. You will notice that, after such determination, you should fit within one of two profiles. Some of the correlations already noted may assist you and provide you with added information about yourself.

## Key Negotiating Temperaments

If you are a harmonizer who is also very high on the need for affiliation or the need for social power, and low on conscientiousness, you should take special care to avoid becoming the pacifier in negotiations. If you are an action seeker with low conscientiousness or low emotional stability, take care not to become the high roller. If you have a judging preference and also have a high need for personal power and a high level of competitiveness, you may be prone to becoming the bull or the street fighter. You should exercise particular caution in controlling your negotiation interactions if you also have a low level of emotional stability to add to that mixture.

If your learning style is either converging or diverging and you are unsure of your negotiation temperament, consider three additional facets. If you are a converger and are also high in need for achievement, competitiveness, or conscientiousness, you may fit the controller profile. If you are a diverging style of learner and are also relatively low on conscientiousness and need for achievement, you may fit the action seeker profile. A form is provided in Exhibit 1 to record your temperament assessment.

### Performance Checklist

- ✓ Certain aspects of personality relate particularly to interaction style. Preferences for taking in information and structuring the outside world exhibit themselves in negotiating temperaments. Right-brain/left-brain dominance; learning style; conscientiousness; Type A characteristics; emotional stability; and needs for power, achievement, and affiliation may also relate to temperament.
- ✓ The four key negotiation temperaments are the harmonizer (pacifier), the controller (bull), the pragmatist (street fighter), and the action seeker (high roller). The parenthetical names describe the temperament out of control.
- ✓ Temperament affects perceptions, interpretations, and certain behaviors. It is possible to recognize each temperament by paying attention to approach. Harmonizers are general and open-ended; controllers are general and resolved; pragmatists are specific and resolved; and action seekers are specific and open-ended.
- ✓ You should record your negotiation temperament assessment in the form provided in Exhibit 1 using the knowledge gained thus far.

## Key Negotiating Temperaments

### **EXHIBIT 1**

#### **Negotiating Temperament Assessment Form**

My primary negotiating temperament is

Harmonizer \_\_\_\_\_ Controller \_\_\_\_\_ Pragmatist \_\_\_\_\_ Action seeker \_\_\_\_\_

I am a harmonizer who also has

High need for affiliation \_\_\_\_\_

High need for social power \_\_\_\_\_

Low conscientiousness \_\_\_\_\_

If one or more of the preceding are true, I will focus on not being a pacifier \_\_\_\_\_

I am a controller who also has

High competitiveness \_\_\_\_\_

High need for personal power \_\_\_\_\_

Moderate to low emotional stability \_\_\_\_\_

If two or more of the preceding are true, I will focus on not being a bull \_\_\_\_\_

I am a pragmatist who also has

High competitiveness \_\_\_\_\_

High need for personal power \_\_\_\_\_

Moderate to low emotional stability \_\_\_\_\_

If two or more of the preceding are true, I will focus on not being a street fighter \_\_\_\_\_

I am an action seeker who also has

Moderate to low conscientiousness \_\_\_\_\_

Moderate to low emotional stability \_\_\_\_\_

If one or both of the preceding are true, I will focus on not being a high roller \_\_\_\_\_

#### **Key Terms, Phrases, and Concepts**

Perception

Harmonizer (pacifier)

Controller (bull)

Pragmatist (street fighter)

Action Seeker (high-roller)

## Key Negotiating Temperaments

### Review Questions

Mark each of questions 1 and 2 as True (T) or False (F) and answer questions 3 through 10.

- T F 1. The four key negotiating temperaments reflect four possible combinations of two personality preferences.
- T F 2. Understanding two personality preferences is all that is necessary to master negotiating behavior.
3. A negotiator who moves freely from one issue to another or discusses multiple issues together is exemplifying the temperament of a/an \_\_\_\_\_.
4. A negotiator who focuses on specifics and details might be one of which two temperaments? \_\_\_\_\_ or \_\_\_\_\_.
5. A negotiator who likes detail and is also focused on resolution exemplifies the temperament of a/an \_\_\_\_\_.
6. The negotiating temperament that is likely most unpredictable is the \_\_\_\_\_.
7. Why are harmonizers and controllers prone to organize information into concepts and theories? What aspects of personality relate to such behavior?
8. What personality characteristics or traits must a harmonizer be sure to keep in check or under control? Why?
9. What personality characteristics or traits must an action seeker be sure to keep under control? Why?
10. Think of a recent interaction you were party to. Imagine yourself in the eyes of the other party. Which negotiating temperament did you exhibit?

### Case 1

Ventura Capital is a financier who specializes in capitalizing start-up companies. Andy Preneur is a would-be entrepreneur. He needs capital to start his new business. Andy and Ventura have been negotiating a potential agreement over the last few months. It seems there is only one item unresolved. Ventura wants her investment to remain in the company and earn a preferred dividend of 5 percent, even if Andy no longer needs the money. Andy wants the right to buy out Ventura's interest at any time as long as the 5 percent return

## Key Negotiating Temperaments

is paid. Role-play this case with another person. When you finish, address the following questions.

### **Case Discussion Questions**

1. Which of the four key temperaments was most clearly displayed by the other person? Identify specific comments and behaviors to support your assessment.
2. Which of the four key temperaments do you think your comments and behaviors most clearly displayed?
3. Do you agree with each other's self and other assessments? If not, why do you think you see the behaviors differently?



# Communicating in Negotiation

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To understand communication as a process
- To learn rules for effective listening and speaking in negotiation
- To learn communication filtering techniques for negotiation
- To recognize signs of destructive conflict in negotiation and what to do when they arise
- To learn to watch body language in negotiation
- To be cautious in written and electronic negotiation

**“It is a great  
misfortune neither  
to have enough wit  
to talk well nor  
enough judgment  
to be silent.”**

*La Bruyere*

From *Conflict Management: A Practical Guide to Developing Negotiation Strategies*. Barbara A. Budjac Corvette. Copyright © 2007 by Pearson Prentice Hall. All rights reserved.

## Communicating in Negotiation

Do you communicate when you speak, or do you just make noise? Is what is written here communication, or just noise? Communication is essential for negotiating success. The opening quotation summarizes the essence of negotiation communication. Your goal should be to say the right things in the right ways at the right times and to hear. What you say must be understood as you intend it to be effective. Saying the right things in the right ways is necessary for your message to be understood. Hearing the other parties is necessary for you to say the right things at the right times. Communication is a two-way process.

**Communication** is the effective transfer of intended meaning. If the transfer falls short of that, it is just noise. The process of communication can be understood in parts. Noise can arise in any of the parts. Noise can arise from several factors. However, much noise comes from interpersonal differences in key aspects of personality discussed previously in this book.

We are naturally able to interact with those individuals who are most similar to us. The more we have in common regarding the ways in which we take in information, process information, and structure our outside world, the easier it is to communicate. In fact, enduring, close relationships are generally those between people who share traits and characteristics of personality and temperament as well as values. Our attitudes and perceptions edit the messages we hear from others. We have the greatest misunderstandings and risk of conflict with those who differ from us.

In this chapter we review key principles of communication as a process and identify communication skills necessary for effective negotiation. Our focus is on interpersonal complexities in communication.

Principles of effective communication are divided into four general categories: (1) listening, (2) speaking, (3) **filtering**, and (4) **watching**. The first two are important regardless of who is on the other side of the communication process. The latter two are particularly important when the one with whom we are communicating is the least like us.

### THE COMMUNICATION PROCESS

The process of communication may be analyzed in steps. A message flows through the following steps or subprocesses: the **source**,

## Communicating in Negotiation

**encoding**, the **channel**, **decoding**, and the **receiver** (Berlo 1960). The *source* is the person originating the message. That person *encodes* it—structures it according to his or her understanding. The *channel* is the medium through which the message is sent—the spoken word, the written word on paper or electronic medium, and body language. *Decoding* is the receiver’s interpretation and understanding of the message. Much purported communication stops there. In order to ensure that communication has, in fact, occurred, one more step is needed—**feedback**.

If the receiver re-sends the message in confirmation of what was understood and that feedback coincides with what was intended, we can be fairly certain that communication has occurred. However, if the original sender, or source, does not *hear* the feedback, no one will know whether communication occurred. Listening, therefore, is critical to communication.

Noise can occur at any step, even in feedback. We tend to encode messages according to our own way of taking in information and subject to our own perspectives and biases. Sometimes we use shortcuts and codes familiar to us that are not familiar to others. Our personalities, our culture, our language, and our attitudes can all create noise and present barriers to communication. Sometimes we see and hear what we want to see and hear, despite the clarity of the message!

Communication is difficult! The more people involved in the process, the greater the complexities and opportunities for noise. Some channels are richer than others. Direct, face-to-face communication is the richest. It provides the greatest sources of information as well as the greatest opportunities for immediate feedback. Verbal and body language are available in face-to-face interaction. Negotiation is best conducted face to face. In telephone communication, verbal tone and immediate feedback are available but body language is not. Written communication must be undertaken with special care to avoid unintended offense or unintended meaning.

There are rules we can follow that will help us do our best. We can become aware of ourselves and our ways of encoding and decoding. We can learn to listen. We can learn to speak effectively as well as request and give feedback. We can filter our messages in ways that aid the other’s understanding. We can observe. Finally, as we continue to follow those rules we can learn more about perception.

---

### **HOT TIP!**

Practice listening and speaking rules on topics about which you are passionate.

## **RULES FOR EFFECTIVE LISTENING IN NEGOTIATION**

Good negotiators, like good communicators generally are active listeners. Most of us, absent training and practice, are relatively poor listeners. Extroverts usually have particular difficulty in developing listening skills. Quietly listening, on the other hand, comes naturally to introverts. All negotiators should follow the rules set forth in the following box.

- ✓ Talk less and listen more.
- ✓ Seek new information.
- ✓ Do not stop listening before the other person finishes because you think you know what he or she is going to say.
- ✓ Do not stop listening in order to remember what you want to say next.
- ✓ Do not assume that you know what the other person means.
- ✓ Do not interrupt.
- ✓ If you do not understand, say so.
- ✓ Show interest. Lean forward, nod, or smile.

## **RULES FOR EFFECTIVE SPEAKING IN NEGOTIATION**

The following rules should be adopted as general guidelines permeating all of your negotiation messages:

- ✓ Do not answer a question if you are not prepared.
- ✓ Do not answer a question that was not asked, unless you are *sure* that it will aid the process of mutual understanding.
- ✓ Do not be afraid to answer a question with a question.
- ✓ Do not answer a question if the timing does not suit your strategy, but promise to answer it later.
- ✓ Do not ask a question that will trigger the reciprocal question back to you if you are not ready or prepared to answer it.

## Communicating in Negotiation

- ✓ After you ask a question, *stop*, close your mouth, and open your ears so that the person can answer and you can hear!
- ✓ Occasionally ask a question to which you already know the answer in order to test the other's veracity.
- ✓ Restate or summarize what you understood the other person to say.
- ✓ State your understanding and appreciation for the other's position.
- ✓ Do not be offensive or rude.
- ✓ Until you are ready to agree, use conditional statements and hypotheticals.
- ✓ Do not say things to show off.
- ✓ Do not be afraid of appearing stupid.
- ✓ Do not be afraid to be silent.

**“Speech is silver;  
silence is golden.”**

*German Proverb*

If you are surprised by the rule, Do not be afraid of appearing stupid, bear in mind that it is not the same as *being* stupid! Many times we fail to seek clarification because of this fear. It is unlikely that your counterpart will presume you stupid for seeking information. However, if that does happen, it will give you an advantage.

## **FILTERING**

The principle of filtering is premised on knowing who you are and what type of personality the person has with whom you are dealing. To be effective in the communication process, one must be aware of his or her own internal editing, recognize clues, and relate transmissions to the personalities involved. We are largely unaware of our automatic editing. Our natural tendency is to assume that others are like us. We project our characteristics onto others. Our reactions to others depend in large part on how we perceive them. While perception is addressed at greater length elsewhere in this book, our focus here is on practicing filtering techniques.

Filtering removes the debris of our automatic editing and allows for effective transfer of intended meaning. There are two basic rules for filtering:

1. Know your prejudices, biases, and tendencies, and allow for them.
2. Listen and speak to the other in his or her language.

## Communicating in Negotiation

It is the failure of the filtering process that accounts for much tension, anger, destructive conflict, and many breakdowns of the negotiation process. The way to improve your filtering skills and, therefore, your communication and negotiation skills is to recognize how you interact, how you react to your opposites, and how your opposites react to you.

Usually the hardest part of that quest is acknowledging how others perceive you. For example, to your opposite you may be perceived as argumentative or even abrasive when you think you are merely getting to the point and getting to resolution. To your opposite you may be perceived as scattered or wishy-washy when you think you are being open to alternatives and trying to accommodate.

In order to improve your filtering skills, make a note of your interpretation of and reaction to the characteristics and behaviors of the various personalities and temperaments. Next, make a list of the effort you must make in negotiations with your opposites. Remember, the more you are able to use your nonpreferences, the fewer blind spots you will have in negotiation. Some examples are provided to get you started. Following the practice examples is a general filtering approach to use in resolving conflict caused by personality differences during negotiations.

### EXAMPLES OF FILTERING SKILL BUILDING

Choose the examples that apply to your personality characteristics, and practice.

- I am an introvert. I get angry when someone states the obvious or repeats what has already been said. I need to be patient when negotiating with people who do this, because they are not intending to annoy me. They are different from me.
- I am an intuitive. I am impatient with details and I cannot stand it when someone cannot see the big picture. I need to be patient when negotiating with a sensor, because details are important to him or her. In order to get through to a sensor, I must present details.
- I am a sensor. I can anger people when I interrupt to insert or correct facts. When negotiating with an intuitive, I must remember that we have to discuss more than details. We must discuss goals and broad issues.

## Communicating in Negotiation

- I am an intuitive. When dealing with a sensor, I must be aware that he or she wants specific questions and specific answers.
- I am a sensor. When dealing with an intuitive, I must be aware that he or she looks for the meaning of things. I must appreciate the intuitive's need to think of concepts and to be relational.
- I am a sensor. I must replace the word "you" with "I." Rather than saying "Your numbers are wrong," I must say, "I looked at it differently."
- I am a judger. I know when I am right. I think about things before I make up my mind. I have no tolerance for disagreement or alternatives. If something is worth doing, it is worth doing right. I need to recognize that my way is not the only way. When negotiating with perceivers, I must allow them to have their own views. I must realize that they speak of their ideas and perceptions. Not everything they say represents their judgment or final view.
- I am a perceiver. I can see all sides to an issue. When I voice alternatives with a judger, I create anger. I must make it known that I am contemplating out loud, and I must increase the importance of resolving issues expeditiously when I negotiate with a judger.
- I am a judger. When dealing with a perceiver, I must make an effort to collect and consider new and additional information that may affect my ultimate decision.
- I am a perceiver. I must make a conscious effort to come to closure on issues.

### WHEN CONFLICT ARISES IN NEGOTIATION

- Privately consider whether the dispute is due in whole or in part to temperament and personality differences or is a conflict on a substantive matter or issue.
- If the problem is only one of personality/communication differences, relate to the other person on his or her terms and in his or her language.
- If conflict persists despite the filtering attempts, determine and agree on what is in dispute.
- Then proceed with negotiation on that issue (or proceed with understanding that there was not a real dispute).
- If conflict escalates at any time, call *time out*.

## Communicating in Negotiation

Remember that the minimal features of conflict include values, meanings, attributions, communication and, most importantly, interdependence. Also remember that interpersonal skills will make you look like a genius, and genius is often perseverance in disguise!

### WATCHING

*Watching* is paying attention to nonverbal clues—body language. **Kinesics** is the term used to refer to the study of nonverbal communication in human interaction. Our emotions and motives are frequently displayed in our nonverbal behavior. Motives in this regard are our expectancies of pleasantness or unpleasantness. The activation of expectancies moves us into action—behaviors. Feelings, or emotions, also move us to actions. Smiling, frowning, and crying are obvious examples. Some of these physical actions are automatic. That is, often we do not consciously decide to take the action or we are unaware of the action.

It is often possible to obtain information from observing body language. It is also important to recognize what your body language may be signaling to the other person—your counterpart. You may need to guard against unintended communication. Some words of caution are in order, however. There are cultural differences in body movement and comportment, and people do have habits and idiosyncrasies that may not have the meanings typically applicable to those behaviors. In addition, individuals knowledgeable in kinesics may purposely attempt to convey a message through body language. A person can control many actions and expressions that would otherwise convey their emotions; however, it is usually not possible to control for all of the available clues. Nevertheless, in a case of purposive body language, the conclusion you draw from the behavior may not be appropriate to the situation.

Therefore, in order not to be misled, the primary things to watch for in the behavior of others are two: (1) body language that conflicts with the verbal message being conveyed and (2) changes in behavior relative to the situation or the person being observed. In watching the behavior of others, your overall guide should be to listen to your inner feelings. Your subconscious reading of the nonverbal clues will usually be accurate. With those words of caution and suggested use in mind, certain elements of body language, along with their *typical* meaning, are provided in the next section. Drawings depicting some of this language are also presented.

## BODY LANGUAGE

Anxiety and/or anger can be shown by tone of voice, tension in the facial muscles, clenched teeth, claspings objects, dilated pupils, general body activity rather than stillness, stiff posture, perspiration, short glances, or averted stares.

Facial expressions convey pleasure, anxiety, and relief and are generally easier to control than gross body movements. However, look for the inappropriate smile while explaining a problem. For example, a verbal message explaining a problem and requesting help may be accompanied by a subconsciously generated smile that indicates no real concern for resolution.

Eyebrows can signal surprise or puzzlement. The mouth can signal pleasure or displeasure.

While a single head nod indicates permission for the other to continue talking, multiple head nods indicate a desire to speak. It may also provide a flag that the person is no longer listening to you and, rather, being focused on what he or she wants to say.

A person looks more at people he or she likes than at those he or she dislikes. However, intense staring can be used to intimidate and can be aggressive.

Bright light behind an individual can create power for them. If you are seated in front of the desk of someone whose back is to a bright window, the physical arrangement creates a power imbalance in favor of the person behind the desk.

Height differences create power differentials. The unaided difference in height of the individuals creates a differential. The physical arrangement, such as variation in chair height, can create such differential. The drawings in Exhibit 1 demonstrate effects of vertical space differentials.

Shifty eyes usually do not indicate dishonesty. Usually, they indicate submissiveness or unwillingness to address an issue. Looking off to the left while telling a story, however, may indicate deception. Remember that creativity comes from the right side of the brain—the same side that controls the left side of the body!

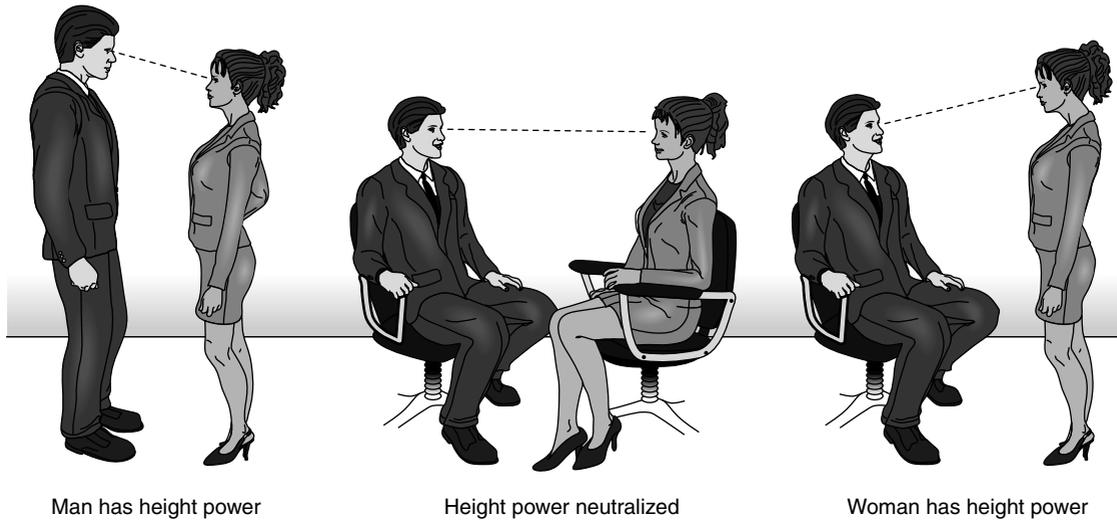
Rapid or excessive eye blinking may indicate that the person is uncomfortable, exaggerating, tense, lying, or very alert.

Rubbing eyes often indicates that the person is not accepting what has been explained or presented. This can be a clue to the need for more explanation or persuasion.

Using the hands to substantially cover the face may indicate nonacceptance or a reaction to behavior interpreted as aggressive.

**EXHIBIT 1**

**Vertical Space Illustrations.**



Placing the hands over the mouth while speaking may indicate fear of acceptance, or it may indicate deception in what is being said.

A significant change in activity, such as substantial reduction in general body movement or an obvious attempt to make and hold eye contact after generally not having had significant eye contact, may indicate deception. It may also be an intimidation ploy.

Body movements that are inconsistent with the spoken word may indicate deception. For example, shaking your head “No” while saying “Yes” is likely to indicate either deception or noncommitment.

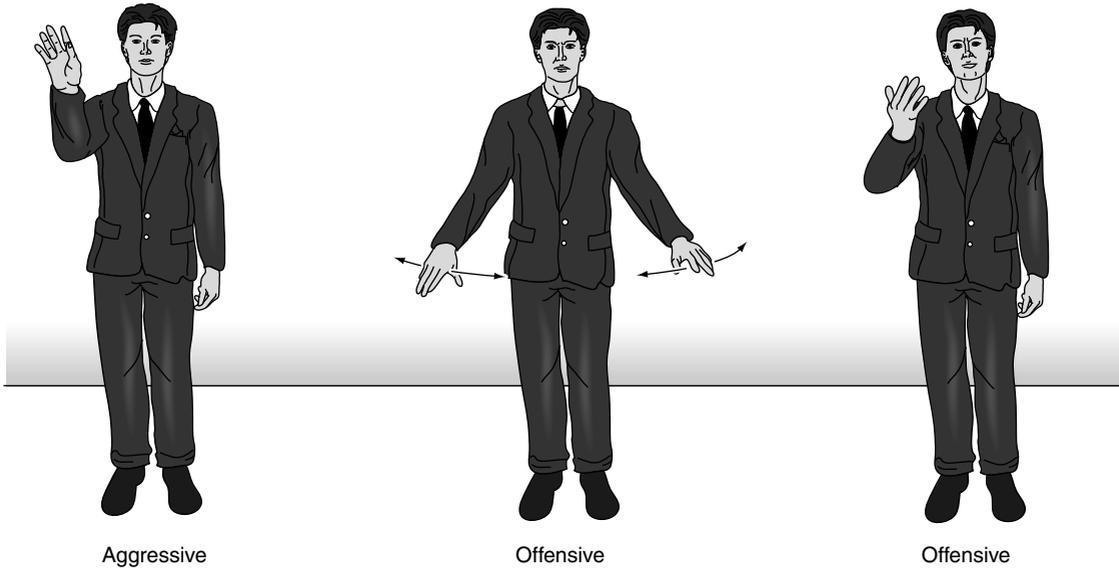
Stroking the chin or placing the knuckles under the chin indicates interest. The chin resting in the palm indicates boredom. While touching the bridge of the nose is a sign of concentration, stroking the nose may be a sign of exaggeration or lying. (It may also be a response to an itch!)

When a man brings his hands to his chest, it usually indicates openness and sincerity. When a woman brings her hands to her chest, it usually indicates shock.

The wringing or twisting of hands indicates substantial frustration. Steepling the fingers conveys confidence. The meaning of other arm and hand positions varies with the direction to which the palm faces relative to the other person. The drawings in Exhibits 2, 3, and 4 provide examples.

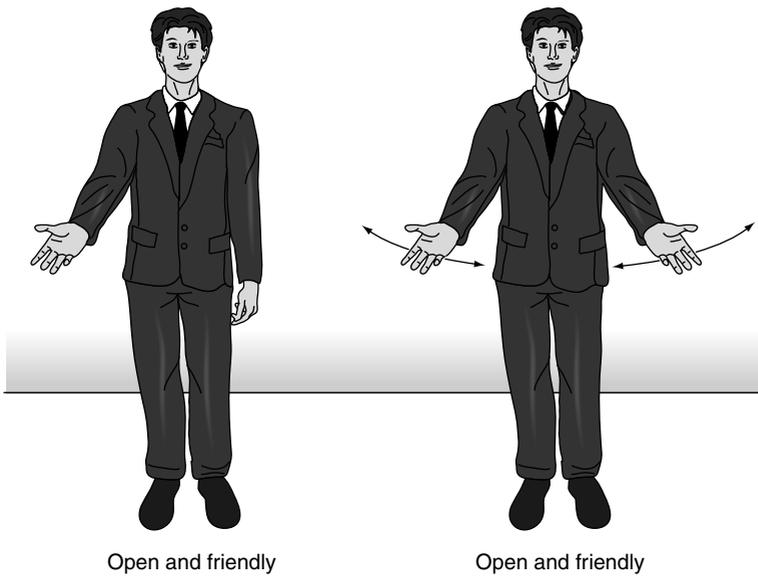
**EXHIBIT 2**

**Hand Gesturing Illustrations.**



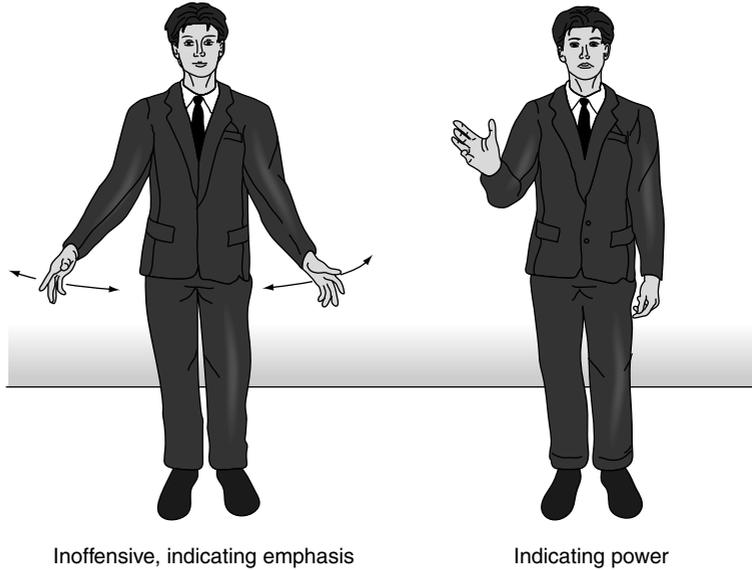
**EXHIBIT 3**

**Hand Gesturing Illustrations.**



**EXHIBIT 4**

**Hand Gesturing Illustrations**



Sitting on the edge of the chair indicates interest in the conversation. Leaning back or putting one's hands on the back of one's head indicates either confidence or dominance. It may be aggressive behavior.

Crossed arms or crossed legs with a closed body position indicate a closed or defensive attitude. Drawings presented in Exhibits 5 and 6 depict samples of body demeanor.

## **ELECTRONIC COMMUNICATION**

Electronic communication is becoming more important in negotiations. It is prudent to be aware of what has developed in expressing emotion through electronic forms. The use of all capital letters expresses shouting. Other symbols are used to express various other emotions as set forth here:

Colon followed by a close parenthesis is a smile. :-)

A colon followed by a forward parenthesis is a frown. :-(

; ) is a wink.

<g> is a grin.

**EXHIBIT 5**

**Open Body Demeanor Illustrations**



Open and relaxed

**EXHIBIT 6**

**Closed Body Demeanor Illustrations**



Closed and withdrawn

Closed and bored

Closed and pensive

## Communicating in Negotiation

;-@ is a yell.  
;-D is shock.  
;-e is disappointment.

### REFLECTION AND PRACTICE

Have you experienced a negotiation during which communication seemed relatively easy and requirements were clear? Try to identify briefly what contributed to the effectiveness of the communication.

Have you experienced a negotiation during which communication was very difficult or, perhaps, so ineffective that negotiations broke down with no resolution whatsoever? Try to identify briefly what contributed to the difficulties.

If any portion of your answers to the preceding two questions relates to your counterpart's personality, temperament, behavior, or demeanor, identify whether or not those factors are similar or dissimilar to your personality, temperament, negotiating behavior, or demeanor.

Go to a place with which you have little familiarity. Do not talk. Listen and pay special attention to nonverbal behaviors. After making your observations, identify how the behaviors affected your interpretations and conclusions regarding what you saw.

Listen to a friend or associate for two minutes with no talking on your part. Then try to provide a verbatim account of what was said. Do this again with someone else. Do it again, but increase the time to four minutes. Do this exercise while you are watching a television program. Watch the program for two minutes and then try to provide an account of what was said.

### Performance Checklist

- ✓ Communication is the process of effectively conveying intended meaning. Communication is critical for negotiation success. Communication is complex. Key steps include encoding, decoding, and feedback. Noise can occur during any steps in the process.
- ✓ Much noise can be eliminated by understanding ourselves and our opposites and by following rules for speaking and listening and watching body language.

## Communicating in Negotiation

- ✓ Filtering techniques will assist us in negotiation communication.
- ✓ When conflict arises in negotiation, one should assess whether it is substantive or due to temperament and/or other communication failure, apply filtering techniques to determine the precise substantive matter in dispute, or call time-out prior to escalation.
- ✓ Written negotiation is most vulnerable to unintended communication.

### Key Terms, Phrases, and Concepts

Communication

Filtering

Watching

Source

Encoding

Channel

Decoding

Receiver

Feedback

Kinesics

### Review Questions

Mark each of questions 1 through 3 as True (T) or False (F) and answer questions 4 through 10.

- T F 1. People typically look more at people they like than they do at people they dislike.
- T F 2. Multiple head nods by the person to whom you are speaking likely indicates that he or she has stopped listening.
- T F 3. Shifty eyes may indicate submissiveness.
- 4. What are the minimal features of conflict?
- 5. What are the two most important things to remember about body language?
- 6. Name the four general categories of principles for effective communication.

## Communicating in Negotiation

7. Why would it be true that we are able to communicate best with those who are most similar to us?
8. Explain the importance of feedback in the negotiation process.
9. What one thing can you do to increase your communication effectiveness in negotiation?
10. Critically evaluate your typical body movements during interactions with others. What messages might you be sending through your habits?

### Case 1

Jack asked, "How is the Southwestern project coming along?" Ms. Lee said, "I need to talk to you about that." "I don't want to hear any excuses, just get this project done," Jack yelled to Wei Lee. Ms. Lee said, "Fine. I quit. Do it yourself." Ms. Lee is the senior project manager and is in charge of completing a customized training program for the firm's largest client. Jack was hired from the outside just two months ago as vice president of training. Ms. Lee believes that her credentials are more appropriate and impressive than are Jack's. Ms. Lee expected the job. She has no alternatives lined up. Jack has already earned a reputation for being harsh in a place where people formerly enjoyed working. The particular project in question includes extensive material/course manual preparation as well as classroom sessions. Before the interruption, Ms. Lee was attempting to communicate to Jack that the client had requested a significant variation from what was originally contracted. The good news that Ms. Lee had to share was that the client had agreed to double the fee.

### Case Discussion Questions

1. How many rules for effective listening and speaking has Jack broken?
2. How well has Wei handled this conflict? Can you suggest any alternative actions that would have been consistent with good practices?
3. If you learned that Jack dislikes female professionals, what additional insight does that provide regarding communication difficulties between him and Ms. Lee? What might you suggest to Jack?



# A Note on Cultural and Gender Differences

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To understand what culture is
- To appreciate cultural differences in negotiation
- To consider potential gender differences in negotiation

**“If civilization is to survive, we must cultivate the science of human relationships—the ability of all peoples, of all kinds, to live together, in the same world at peace.”**

*Franklin D. Roosevelt*

From *Conflict Management: A Practical Guide to Developing Negotiation Strategies*. Barbara A. Budjac Corvette. Copyright © 2007 by Pearson Prentice Hall. All rights reserved.

## WHAT IS CULTURE?

**Culture** consists of all of the beliefs, behaviors, and products common to members of a particular group. It includes values, customs, language, rules, tools, technologies, goods, laws, institutions, and organizations. A national culture is the set of values, beliefs, attitudes, and behavioral expectations—or **norms**—shared by the majority of individuals residing in the country.

Culture shapes the way individuals think, the way they view the world, and the way they interact. Most individuals are unaware of the magnitude to which the dominant culture in which they were raised affects them.

Each of us learns norms of behavior that intersect all phases of our lives. The culture may prescribe acceptable roles by gender as well as acceptable behavior by gender. The culture may also prescribe many things by race, ethnicity, and other human characteristics.

We can think in terms of national culture and many subcultures thereof. There exist subcultures by ethnicity or national heritage, such as Amish settlements or American Indian reservations, for example. Subcultures may exist by geographic region as well. Institutions and organizations possess cultures of their own that are subcultures of the country culture.

The culture with which an individual has the most significant contact is likely to be the culture that most affects that individual's values, beliefs, attitudes, and behaviors. Similarly, the dimension of individual similarity determines the strength of the culture. That is, the less diversity existing within a country or smaller social group, the stronger the culture. A strong culture places pressure on diversity and creates conflict with diversity.

What is written down in institutional structure, laws and regulations, and history is referred to as the *formal* culture. However, culture goes beyond that to what is termed the *informal* culture. Even though the informal culture may be more difficult to understand, it significantly affects behavioral norms and expectations.

**“A corporation’s culture is what determines how people behave when they are not being watched.”**

*Thomas Tierney, former CEO, Bain & Company (The Economist, July 27, 2002)*

## WAYS TO CLASSIFY COUNTRY CULTURES

Many dimensions differentiate cultures at all levels.<sup>1</sup> Some key dimensions are noted here due to their relationship to interpersonal interaction. Those dimensions are **time orientation, formality, power distance, individualism versus collectivism, and context.**

*Time orientation* is a dimension that describes the relative focus on time. The American culture tends to perceive time as important and scarce. Such view leads to impatience as well as to valuing punctuality. Eastern cultures tend toward the opposite.

*Formality* refers here to pomp and ceremony, tradition, and formal rules. Relative to other cultures, the American culture is rather devoid of such formalities. Latin Americans enjoy pomp and ceremony—and formality generally. Middle Eastern, Eastern, and southern European cultures favor relatively more formality as compared to the American culture.

The dimension of *power distance* refers to the degree of social status stratification embedded in the culture. This dimension may be viewed as high- or low-power distance acceptance. Countries with low-power distance include the United States, Great Britain, Canada, Austria, Finland, Norway, Ireland, Germany, Sweden, Denmark, and Israel (Hofstede 1980). Countries with high-power distance include Mexico, South Korea, Japan, India, Pakistan, Thailand, Argentina, Brazil, Chile, France, Spain, Italy, Belgium, and South Africa (Hofstede 1980).

The *context* dimension refers to the extent to which the context, situation, and individuals involved may affect behavior and meaning in interaction. In a **low-context culture** such as the United States, a person is expected to say what he or she means and expects the meaning to be consistent across situations (Wilson 1992). Low-context cultures include the North American, German, Swiss, Scandinavian, and British. In a **high-context culture**, context is central to meaning—nonverbal and subtle cues are critical in communication (Borisoff and Victor 1989). High-context cultures include the Chinese, Korean, Japanese, Vietnamese, Arabian, Greek, and to a lesser extent Spanish and Italian.

<sup>1</sup> One of the most often cited approaches for differentiating cultures is that used by Geert Hofstede (1980). Hofstede's study was limited to one large organization, and the data are now old. The material in this chapter borrows two dimensions and other findings from Hofstede's work—power distance and individualism versus collectivism—but presents more recent thinking on cultural differences as well.

## A Note on Cultural and Gender Differences

The dimension of *individualism versus collectivism* refers to the expectation and preference for individual effort, benefit, and recognition versus collective effort, benefit, and recognition. Country cultures that are relatively collectivist include Japan, Denmark, and Singapore (Hofstede 1980). Country cultures that are higher in individualism include Greece, Germany, Hungary, Egypt, Hong Kong, and North American countries (Hofstede 1980). Some researchers consider low-context cultures to be individualistic and high-context cultures to be collectivist (Wilmot and Hocker 2001, 35).

## RELATIONSHIP OF CULTURAL DIMENSIONS TO PERSONALITY

If what is discussed in the preceding section sounds like some of the personality traits discussed elsewhere, it should. Culture affects development of personality characteristics by placing value on certain behaviors. For example, a **cultural emphasis** on time scarcity is consistent with producing Type A personalities. Capitalistic economies may foster development of the Type A characteristic.

Some research has reported that low-context cultures generate many internal locus of control individuals, while high-context cultures generate external locus of control individuals (Triandis 1980). That is consistent with the high-context person emphasizing private goals and control in negotiation while the low-context person emphasizes interdependence and group benefit, as noted in the next section.

Other research reports that low-context cultures stress linear logic, while high-context cultures stress integrative thinking (Gudykunst and Ting-Toomey 1988). In high-context cultures, members rely heavily on inferred meaning while low-context people strive hard to find a literal meaning (Borisoff and Victor 1989, 141). This is consistent with reports that more than 70 percent of Americans are sensors (Kroeger and Theusen 1988).

We should also expect cultural differences in the need for personal and social power. Some research has found that individuals from high-context cultures are more willing to use social power to accomplish goals, at least for the group (Ralston, Gustafson, Cheung, and Terpstra 1993; and Ralston, Gustafson, Terpstra, Holt, Cheung, and Ribbens 1993).

## CULTURAL DIFFERENCES AND THEIR EFFECT IN NEGOTIATION

**Cross-cultural differences in communication and negotiation** are at the forefront of interest today. Key problems include **semantics, connotation, tone,** and expectations. As to *semantics*, be aware that some words do not translate between languages. As to *connotations*, be aware that words may mean different things in different languages and in different settings. As to *tone*, be aware that in some cultures a personal and informal style is preferred while in others a more formal style is expected. These expectations relate to the general degree of formality in the culture.

Those countries high on the formality dimension identified earlier are where a more formal approach is expected. Choosing the wrong style can be embarrassing and insulting. In many cultures it is customary to have personal, social discussion prior to and in conjunction with business meetings. Such behavior is expected as part of the formality. Negotiators from less formal cultures, as well as from more time-oriented cultures (such as Americans), are well advised to allow time for necessary formalities. They are also well advised to allow their counterparts from other cultures to be less punctual or time focused, and they should allow the other party time to come to decision or agreement. Harmonizers and action seekers, as described in another chapter, are likely to adapt to these cultural differences more readily than will controllers and pragmatists.

Individual spatial boundaries differ among cultures. When in doubt, maintain a respectable distance and refrain from personal contact. However, let your counterpart take the lead in initial greetings and in spacial distance. Take your cues from your counterpart.

Gift giving, style of dress, and the use of alcohol vary among cultures. It is best to inquire ahead of time when possible. Be prepared for all options and follow the examples of your counterparts when you are unaware of the rules.

In many collectivist and high-context cultures, self-interest is not valued. Self-expression that does not further the needs of the group may be met with disapproval. In high-context cultures, aggressive and direct confrontation may be considered rude or ignorant (Borisoff and Victor 1989). Individuals from individualistic cultures, particularly Western cultures, will find that in negotiating with a counterpart from a high-context culture, particularly Asian cultures, what must be stressed is harmony and common, or group, good.

### Hot Tip!

Cultural sensitivity will enhance your negotiation performance.

## A Note on Cultural and Gender Differences

Negotiators from individualistic cultures typically balance the advantages and disadvantages of relationships with the perceived individual benefit to them. Negotiators from collectivist cultures are typically willing to commit for the benefit of their group, even if the action is not most advantageous personally. Negotiators from collectivist cultures are more likely to criticize themselves than are those from individualistic cultures, because collectivists place higher value on the group than on themselves (Heine, Takata, and Lehman 2000).

Based on the research cited earlier, it is likely that many negotiators from high-context cultures will use an intuitive approach or exemplify the harmonizer temperament. It appears more likely that many negotiators from low-context cultures will use a sensing approach to information and exemplify the pragmatist or action seeker temperaments.

Face saving is important in all cultures; however, it may be exemplified differently by culture. It is widely recognized that face saving is often paramount in Asian cultures. In those cultures, offensive, directive, or power-over negotiation may be perceived as loss of face and bring an end to negotiations.

It is also widely recognized that being wrong is perceived as losing face in Arabian cultures. Value is placed on expertise and supporting evidence. The nature of face saving in cultures such as these presents a greater challenge in using collaborative negotiation than in other cultures. The solution must in no way be interpretable as inconsistent with the party's position.

In all high-context cultures, face saving is very important. Saving face includes receiving personal respect and having one's values and beliefs respected. Such values and beliefs include the belief that interpersonal relations are important and that a strong group best guarantees individual benefits (Triandis 1980). It is good practice to be respectful in all negotiations, even in individualistic cultures.

In learning cultural sensitivity, you should also recognize that the issues discussed in this vein are not relevant only when negotiating across national boundaries. In view of the cultural diversity in the United States (as well as other countries), these issues and differences may surface within home borders. Wherever they occur, cultural differences can result in communication failures, unnecessary conflict, and failure to come to agreement.

## CONSIDERING GENDER DIFFERENCES IN NEGOTIATION

While practicing your communication skills in your quest to become a more effective negotiator, you may consider research regarding style differences between men and women. There is renewed interest in gender differences in communication and negotiation.

Some research has concluded that men as a group are more likely to use conversation to emphasize status, knowledge, and/or control, while women as a group are more likely to use conversation to create understanding and connection between the parties (Tannen 1991, 1993). It has also been reported that even when actual behaviors appear identical, the genders may conceptualize differently (Wilmot and Hocker 2001). Wilmot and Hocker state that men are more likely to see the self as independent, while women tend to see the self in relationship with others. Effective negotiation requires a view toward interdependence rather than power over others. It also requires mutual empathy. According to the research, it may be that women come to the negotiation task more likely to possess the more effective perspective and approach.

Studies also have indicated that in male-female interactions, males tend to dominate the conversation (Wilmot and Hocker 2001). Furthermore, studies show that females may be more willing to trust but are unforgiving of trust violations (Wilmot and Hocker 2001).

Gender differences, in situations where they truly exist, may relate to culturalization. That is, in some cultures (such as the United States), men may perceive an accommodating approach to be weak while women may perceive a direct approach as aggressive or insulting. Variations in culture create variations in what are presumed to be gender-typed behavior and roles.

Craver (2002) compared negotiation performance of male and female law students over sixteen years in a law school negotiation course. His data suggest that gender does not significantly influence negotiation results. While what is known about gender differences may be little, one thing is certain: Those males who underestimate their female counterparts do so at their peril!

### Performance Checklist

- ✓ Culture is a set of laws, institutions, technologies, goods, values, customs, beliefs, language, attitudes, behavioral expectations,

## A Note on Cultural and Gender Differences

and norms shared by the majority of individuals in a country. Many subcultures exist around ethnicity, heritage, and geography and in institutions, organizations, and groups.

- ✓ Key dimensions of culture relevant to negotiation include time orientation, formality, power distance, individualism versus collectivism, and context. Certain cultural dimensions may influence the development of certain personality characteristics, such as Type A, locus of control orientation, and sensing versus intuiting. Cultural differences should be recognized and observed in negotiation, particularly as they impact style of interaction.
- ✓ Some research suggests a gender difference in negotiation communication style as well.

### **Key Terms, Phrases, and Concepts**

Culture

Norms

Time Orientation

Formality

Power Distance

Individualism versus Collectivism

Context

High-Context Culture versus Low-Context Culture

Cultural Emphasis

Cross-Cultural Differences in Communication and Negotiation

Semantics

Connotation

Tone

### **Review Questions**

Mark each of questions 1 through 4 as True (T) or False (F) and answer questions 5 through 10.

- T F 1. People in collectivist cultures such as China and Israel may perform better in groups than alone.

## A Note on Cultural and Gender Differences

- T F 2. Culture includes values, customs, language, technology, and more.
- T F 3. Culture does not impact a person's way of thinking.
- T F 4. Countries tend to have their own unique culture of business.
5. List at least six things that differ by culture with examples of specific cultures.

For questions 6 through 10, identify a country you might be in if the statement were true in your particular situation.

6. Personal questions are not asked in business situations. Privacy of others is highly respected.
7. It is August and most people are on vacation while the conduct of business slows to a crawl.
8. Time is observed in "ishes." Meetings regularly begin a half hour behind the appointed time.
9. Cold calls are considered offensive. Formal introductions are expected.
10. Hugs are not given in public.

### Case 1

It was reported on June 11, 1997, by *NBC Nightly News* that according to a study completed, women are genetically predisposed to developing interpersonal skills such as perceiving the attitudes and needs of others.

### Case Discussion Questions

1. Which personality dimensions relate to emotional intelligence, such as sensitivity to the needs of others mentioned in the case?
2. Does culture affect development of certain personality characteristics by gender? If so, how?
3. Do you think that this phenomenon has changed over time? In which countries do you think the conclusion reported in the case is true today?

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# Interests and Goals in Negotiation

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# Interests and Goals in Negotiation

**“Do not let what  
you cannot do  
interfere with what  
you can do.”**

*John Wooden*

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To understand the major types of interests and goals relevant in negotiation
- To learn how to identify and rank goals in negotiation
- To understand that goals change in negotiation
- To learn how goals affect your negotiation strategy

## Interests and Goals in Negotiation

With this chapter, we begin the first step toward commencing actual negotiations. Once you have assessed and diagnosed the conflict and identified a potential overall goal to manage or resolve the conflict through negotiation, you are ready to begin preparation for the interaction. You should arrive at this step with some understanding of your personality, style, and temperament along with the ability to observe rules for effective communication and cultural differences.

This chapter describes general types of interests and goals involved in any negotiation and that exist on all sides of a conflict. We discuss how to come to *GRIP*—how to identify and rank your interests and goals as well as the interests and goals of the other party or parties. We also explain how interests and goals affect negotiation strategy and how they may change during negotiation.

### TYPES OF GOALS

You should identify four types of goals in order to come to *GRIP* with the negotiation challenge. The letter *G* stands for the substantive gain you desire. The letter *R* stands for the relationship interests and goals you desire or that may be intertwined in the substantive issues. The letter *I* stands for *you* in the problem or transaction—your self-esteem and face-saving needs and goals. The letter *P* stands for the process—your goal regarding the nature and style of the process to be used. Each type of goal is addressed in the following sections.

### GAIN ASPIRATIONS

When a conflict is presented, external things are typically sought by the parties. It is helpful to think of these as **gain aspirations**—the substantive and tangible things sought. Examples of *G* goals might be to complete a project by a specified date, to complete two projects within the same time period, to work half days, to get a promotion or raise, to receive a specified amount of money, to be with a particular person, to sell a particular asset with a certain net cash flow, to generate a certain number of dollars in profits, or to motivate someone to work more hours or with more efficiency.

Your external, or *G* goals, are likely to be the easiest to identify. You should also attempt to identify *G* goals held by the other party

## Interests and Goals in Negotiation

or parties to the conflict. It is common, particularly if you tend to hold a negative view toward conflict, to assume that *G* goals of others conflict with your own. That may, indeed, be true. However, the view that *G* goals are incompatible is typically a false perception. You may be surprised how often the exercise of hypothesizing potential alternative goals on both sides leads to common ground that meets the most valued goals of all parties. More often than not, people do not want the same things. At a minimum, you can anticipate that individuals will value and rank things differently. We introduce empathy and finding common ground later in this chapter.

### RELATIONSHIP GOALS

**Relationship goals** or relational goals are the ones that go to the type of relationship sought or sought to be maintained. These goals describe the nature and value you desire for the particular relationship and the particular person or persons involved, respectively, in the conflict. For example, you may desire to build a new friendship or business relationship or to continue an existing one undamaged. You may desire not to hurt the other's feelings, because you value that person. You may desire the other person to feel your fondness for him or her. You may desire the other person's commitment to your project or to the organization. You may desire your boss to like you and to like working with you. To distinguish *R* goals from *G* goals, note that staying employed may be a *G* goal, while the nature and quality of the relationship would be the *R* goal. You may see from these examples that relational goals reflect on all of the individuals in the conflict.

You will likely find it more difficult to identify relational goals—both yours and the others—than to identify *G* goals. Often relationship goals masquerade as *G* goals. The complexities of perception present greater difficulties in understanding relationship goals, as well.

### I GOALS

#### HOT TIP!

*I* goals also often masquerade as *G* goals.

When considering ***I* goals**, you are finding yourself in the conflict. Ask “Who am I and where am I in this conflict?” Your self-image, your self-esteem, your ego needs, and your fears will be present to some extent in every conflict. These goals can be closely related to

relationship goals. For example, let us hypothesize that you have prepared an extensive analysis and recommendation that you want adopted by your peers or your boss. While there may certainly be a *G* goal of attaining the tangible results anticipated in your recommendation, there is also likely to be an *I* goal of being viewed as smart or effective. There may be an *I* goal of not wanting to be viewed as incompetent or deficient in any way. Sometimes we allow *I* goals to overshadow *G* goals to our later regret.

Identifying your fears will assist you in identifying your *I* goals. What are you afraid of? Do you fear looking stupid? Do you fear losing? Do you fear getting hurt, either emotionally or tangibly? Fears and, therefore, *I* goals may also relate to types of power. We discuss power and fear at greater length in other chapters of this book.

Other examples of *I* goals include wanting to be viewed as the peacemaker or problem solver, or wanting to be viewed as fair, or not wanting to be treated unfairly, or wanting to be respected and to be treated with respect. As noted in previous chapters, face-saving is important in all cultures and rises to a level that permeates the entire negotiation process in some cultures.

*I* goals tend to make us inflexible and either avoidant or competitive. The resulting competitive behavior is often to attack the other's person—to attack his or her self-esteem. Such behavior is reactive and will cause a spiral of increasingly negative conflict. In identifying *I* goals, the challenge is to control your own ego and use the *I* goals of the other toward constructive ends. Recognize that others need to feel respected and justified.

To underscore the importance of *I* goals, note that they are used in effecting resolution of even the most extreme conflict situations. Face-saving is a primary tool used by hostage negotiators.<sup>1</sup>

### PROCESS GOALS

**Process goals** describe how you want the interaction to proceed. Process includes the approach discussed in an earlier chapter (constructive/destructive), the style discussed in an earlier chapter (integrative/distributive), the manner of communication, procedures, and the voice or participation expected and permitted by all parties.

<sup>1</sup> See, for example, Rogan and Hammer (1994).

## Interests and Goals in Negotiation

Selection of the appropriate process will be affected by the personalities involved, *G* goals, *R* goals, *I* goals, and the context. You should ask yourself what process will work most effectively to manage or resolve this particular conflict. As is further explained in another chapter, sometimes the process is the first thing requiring negotiation.

The process is important to the interaction in many ways. Process is sometimes more important than the actual tangible outcome. A process perceived as unfair by one party can cause dissatisfaction with an otherwise acceptable outcome. Procedural justice studies consistently demonstrate that people are more dissatisfied by what is perceived to be an unfair process than they are with less than optimal results derived in what is perceived to be a fair process.<sup>2</sup>

The more parties involved, the greater will be the complexity and number of process choices. For example, in a work team, will everyone receive an equal vote? In a multiparty transaction to be negotiated, does each party get equal time or equal review? Process is critical even in negotiations between two parties, regardless of how simple the substance. If one party leaves the negotiation table feeling like he or she was not permitted to fairly present his or her position or feeling pushed into an agreement, the agreement may not hold. That party may break the agreement, upon which a new conflict will arise.

The process may accentuate preexisting power differentials or may tend to disperse power. Empowering others can be effective in generating creativity as well as in developing support and agreement. The process may be directive or competitive. The process may be cooperative and collaborative.

If you hold the ultimate authority along with the responsibility for outcome, you have adequate information, and time is short, you might choose a directive process. Sometimes cooperative processes initiated run out of time and call for a directive termination. An example might be a president's declaration of war. Alternatively, in a context where face-saving is of paramount importance, you should place high importance on ensuring a cooperative process viewed as fair by all parties. A good rule of thumb is to design and use collaborative processes except and only when clear reasons exist not to do so.

<sup>2</sup> See, for example, LaTour (1978); Lind (1992, 1994); Lind, Kulik, Ambrose, and De Vera Park (1993); Thibaut and Walker (1975); Tyler and Lind (1992); and Walker, LaTour, Lind, and Thibaut (1974).

## EVALUATING AND RANKING GOALS

Once you have identified what you believe to be all interests and goals involved in the conflict, you must begin to evaluate and rank them. Look at them critically. Take a systems approach, as explained elsewhere in this book. Look at interrelationships among goals. Look at subsidiary goals and interactive repercussions of attaining goals.

It is necessary to assess the relative value and importance of the goals. Some types of goals may not exist in some conflicts. For example, when you are bartering with someone whom you never expect to see again, relationship goals will be virtually nonexistent!

This step involves assessing which goals may be incompatible or, perhaps, the same thing by different names. It may also disclose that some goals are relatively unimportant. It will help you determine what you truly want and help you to find common ground and trade-offs. It will help you begin to think creatively toward resolution. Once you have evaluated and ranked your goals, you may begin to develop a coordinated plan.

### Exercise 1

As practice in identifying interests and goals, think of your two most recent negotiation interactions. For each one, separately, go back to the conflict that triggered the need to negotiate and come to GRIP using the preceding material.

#### EVALUATION

If you found that you negotiated the wrong thing or used an inappropriate process, you have perhaps learned something about evaluating and ranking goals. If you are pleased with your approach and the result obtained, that is great! You may have found that the goals changed during negotiation. Alternatively, you may want to reconsider the approach used and the results you obtained. The phenomena of changing goals and hindsight are discussed in the next section.

## CHANGING GOALS

Goals may change during and after negotiation. Part of the change phenomenon involves our perceptions and our resolution of psychological discomfort, which are addressed in the next chapter. Goals also change and new goals arise in response to new information during the interaction. Our original goals may prove to be unattainable. Our perception of the other party's goals may have been

**KEY POINT**

One thing is constant—change.

incorrect. Other assumptions and information used in setting your goals may have been incorrect. We address more specifically how to deal with changing goals in later chapters. The following subsections are intended to introduce you to the changing nature of goals.

**PROSPECTIVE GOALS**

**Prospective goals** are the ones we hold going into the negotiation. They represent specific intentions that we want to accomplish and that can be communicated.

**Exercise 2**

Identify the prospective goals from the two interactions in exercise 1. Also identify any new goals that arose during the interaction and how any of your prospective goals changed during the interaction.

Now evaluate those changes relative to the outcome of the negotiation. Did *I* goals arise and cause face-saving to dominate your other goals? Did face-saving on either side cause deterioration in the interaction? Did *I* goals arise on either side due to the process used? Did unanticipated *G* or *R* goals arise? Did negotiation fail to produce an agreement? What interests and goals are primarily responsible for the failure?

**EVALUATION**

If much of the foregoing occurred in your negotiation and no agreement was reached, you might look toward more preparation, more analysis of your *GRIP*, and more focus on process next time. If, on the other hand, unanticipated goals arose that accomplished as much or more than you originally sought, one of three things is likely true: (1) you adapted very well and did very well; (2) you set your goals too low; or (3) your view has changed. We further address setting goals and adapting to new information in a later chapter. Reason 3 is discussed in the next subsection.

**RETROSPECTIVE GOALS**

**Retrospective goals** are the most complex. People have a need to make sense of their behavior and decisions. Sometimes we adjust our perspective retroactively to make ourselves feel better. We may tell ourselves that what we did not get was not important after all or that what we got is much better.

The phenomenon of developing retrospective goals may help in future interactions. For example, suppose you determine

**KEY POINT**

We are all Monday morning quarterbacks!

retrospectively that process was much more important than you thought it was prospectively. In your next negotiation with that person or in a similar context, you can increase the relative value of your *P* goals.

Developing retrospective goals may also serve little function other than rationalization and internal face-saving. Care should be taken to keep this phenomenon from creating retaliatory goals for the next interaction as well.

### GOALS AND YOUR NEGOTIATION STRATEGY

Identifying and ranking your goals and the goals of your counterparts—what we designate here as coming to *GRIP*—are necessary in order to develop your overall plan or negotiation strategy. Coming to *GRIP* is a key ingredient in preparation. You need to come to *GRIP* before making your decision to avoid, manage, or resolve the conflict. Coming to *GRIP* enables you to choose whether or not to negotiate at all. If, for example, your *R* goals in a particular case are much more important than your *G* goals, you might choose not to negotiate the *G* matters at all. You may focus negotiation efforts on *R* goals. As an example, consider an occasion when your best friend did something you dislike very much and you reacted in conflict. If it is something unusual and not likely to recur, your primary focus may be on mending hurt feelings.

Furthermore, you need your *GRIP* to know what you want. Before you decide *how* to get there, you must have a pretty good idea where you want to go! Coming to *GRIP* is a prerequisite to finding common ground necessary for a successful outcome in negotiation. Identifying interests and goals requires some understanding of perception and power, which are addressed in the next two chapters.

After identifying your goals, you should clarify them in a manner that can be communicated to and understood by your counterpart. Clarity will be required to assert your interest and goals. You should search for common goals—common ground, which is the basis for collaborating and persuading.

### DEVELOPING YOUR *GRIP*

Thinking of what you want and what your counterpart wants in terms of types of goals discussed in this chapter will help you succeed in negotiation. As noted already, identifying your

## Interests and Goals in Negotiation

counterpart's goals requires empathy and will likely require more thought than that necessary in identifying your own goals. Once you understand the concepts presented here, the only way to master the skill is to practice. Cases 1 through 3 at the end of this chapter may be used as role-playing dramatizations as you practice developing your *GRIP* and your empathy simultaneously.

### Performance Checklist

- ✓ There are four types of goals to be identified in every negotiation. These are gain aspirations (*G* goals), relationship goals (*R* goals), ego issues (*I* goals), and process choices (*P* goals).
- ✓ It is helpful to identify and rank these goals from the perspective of each party in the conflict.
- ✓ Goals may change during and after negotiation. Sometimes negotiation should be interrupted to evaluate and address new information or a shift in goals. An individual may adjust his or her goals retrospectively to make sense of the negotiation outcome. Retrospection can, however, assist one to improve future negotiation performance.
- ✓ The step of identifying and ranking goals enables you to come to *GRIP* with your negotiation challenge. It provides information necessary for the choice and development of appropriate strategies. It also facilitates finding common ground that is critical to collaborating for mutual satisfaction.

### Key Terms, Phrases, and Concepts

Gain Aspirations

Relationship Goals

I Goals

Process Goals

Prospective Goals

Retrospective Goals

### Review Questions

Mark each of questions 1 through 4 as True (T) or False (F) and answer questions 5 through 10.

T F 1. The substantive, tangible things I want are *G* goals.

T F 2. My ego in the transaction or issue generates *I* goals.

## Interests and Goals in Negotiation

- T F 3. The relationships between or among individuals who are negotiating generate *R* goals.
- T F 4. The way I plan or anticipate the negotiation to unfold comprises *P* goals.
5. Which of the two types of goals are easily confused?
  6. Which two types of goals are most difficult to identify?
  7. What might you do to improve your skill in identifying the interests and goals of others?
  8. What care must you take regarding retrospective goals?
- 9 and 10. Fill in the blank: I must come to *GRIP* before I decide whether to \_\_\_\_\_, \_\_\_\_\_, or resolve a conflict.

### Case 1

#### BUYING A CLASSIC CAR

Assume that one party has always wanted a particular make, model, and color of car. Now that party is prepared to purchase it and has found the car of his or her dreams offered for sale by the owner. As each party (the buyer and the owner), come to *GRIP* with the negotiation challenge they decide what type of strategy is appropriate for each. (You should fill in the car details that are fondest to your heart!)

#### Case Discussion Questions

1. What are the interests and goals of each party?
2. Is there anything that either or both parties may want to avoid?
3. How may either or both parties collaborate for mutual success?

### Case 2

#### NEW BUSINESS RELATIONSHIP SCENARIO

One party's work organization, based in Washington, D.C., has recently begun a project in Wichita, Kansas. The project will require fifteen to twenty employees to travel to Kansas and spend, on average, three weeks in residence there. It is expected that the project will span a period of nine months to completion. This first party has located an apartment complex nearby the location where the project work will be done. The apartment complex has traditionally

## Interests and Goals in Negotiation

required minimum lease terms of one year but does have a few vacancies. The organization desires to have its people in this apartment complex rather than in hotels.

### Case Discussion Questions

1. How would you identify and rank the interests and goals of each party?
2. What common ground can you find between the parties?
3. What strategy would you use as the organization's representative? What strategy would you use as the apartment complex representative?

### Case 3

#### PRENUPTIAL AGREEMENT

Two romantic partners have decided to tie the knot. One has spent a great number of years in a very financially lucrative career and has substantial net worth and positive cash flow. The other has spent an equal number of years working hard as a dedicated teacher and has paltry savings and little extra regular cash flow. Both desire to agree on how living expenses will be shared, how parenting duties will be divided (if that should arise), and how things will be divided and organized upon the unlikely event that they separate or one experiences an untimely death. Analyze how each party comes to *GRIP* with the negotiation challenge and what each party's overall strategy might be.

### Case Discussion Questions

1. Can you identify any critical differences in the goals of the parties? Are there any real incompatibilities?
2. What strategy do you suggest each party use in the negotiation?
3. How directive might either party be, if at all?



# Understanding the Importance of Perception in Negotiation

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To understand basic psychological principles of perception
- To learn how individual differences affect perception
- To recognize that there are differences between self and others' perceptions
- To learn how perception affects attitude, goals, and decisions in negotiation

**“It’s not what we don’t know that gives us trouble; it’s what we know that ain’t so.”**

*Will Rogers*

From *Conflict Management: A Practical Guide to Developing Negotiation Strategies*. Barbara A. Budjac Corvette. Copyright © 2007 by Pearson Prentice Hall. All rights reserved.

## Understanding the Importance of Perception in Negotiation

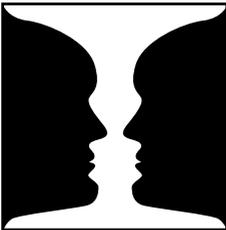
Individual differences may affect your approach to conflict and negotiation as well as your negotiation style, temperament, and communication. Cultural differences may affect those aspects of negotiation. Perception affects all.

Each of us continually perceives and makes judgments about others. Each of us makes decisions based upon our perceptions. How do we know our perceptions are correct?

Each of us is continually being perceived by others. Each of us has an individual perception of ourselves that is affected not only by our personality characteristics but also by what we perceive to be others' perceptions and opinions of us and how we would *like* to be perceived by others.

Individuals possess distinctly opposite preferences for taking in information and dealing with the world, and these differences affect perception. Furthermore, all of these factors affect behavior. It is no wonder that communication is difficult! This chapter explains how the complexities of perception affect every aspect of negotiation interaction.

### EVERYONE DOES NOT SEE THE SAME THINGS



What did you see when you first looked at the preceding figure? Did you see the same thing the second or third time you looked at it? Ask someone else to look at it. Did he or she see the same thing or things that you saw?

There are many ways to analyze and explain individual differences in perception. Many theories of perception exist. Many are complex. Approaches to understanding perceptual differences include those that range from field dependence versus field independence to eye movement and memory association and too many in between to name here. More than one theory may explain differences in viewing the figure.

The point is merely that differences do occur. Fortunately, it is not so difficult to understand the principle sources of perceptual variations most common in negotiation. In fact, we may take another look at some individual differences for explanations of some perceptual differences. We will use certain additional psychological

theories that focus largely on automatic or unconscious cognitive processing.

## THE COMPLEXITY OF PERCEPTION

**Perception** may be understood as the process of selecting, organizing, and interpreting stimuli. In perceiving, we create what are called **cognitive structures**. Cognitive structures may be thought of as mental maps for assigning meaning to our existence and interactions. You may also think of cognitive structures as file drawers for organizing and maintaining information.

We perceive the world and everything and everyone in it— inanimate objects, animals, and human beings. Perception affects our attitudes, beliefs, goals, and decisions. We set goals and take actions based upon what we believe to be true. Perception is impacted by our view of the world, our cultural and other learned expectations, our biases and prejudices, our learning and cognitive styles, and other personality characteristics. Any or all of these factors can distort perception.

Person perception is the most complex perception. With all of the factors that impact perception generally, an additional ingredient impacts person perception. We attribute psychological processes to other human beings. We do this in two general ways. We usually perceive people as causal agents. Our perception of others often leads us to infer intentions and attitudes of others. We are also prone to expect what we experience with others to be repeated in their future behavior. We make judgments regarding the purpose of others' behavior, assessing blame and culpability. We assess the validity of what others say and do. This process provides fertile soil for distorting information.

Perhaps the most important concept to bear in mind in understanding person perception is that we tend to assume that others' cognitive structures are like ours. This is the other general way in which we attribute psychological processes to other human beings. This tendency can also render errors in our perception. We typically presume and infer that others possess the same attributes and characteristics as we possess. We perceive emotional states in others, and we often project our characteristics onto others. The attributional and judgment processes are further explained later in this chapter.

Given what has already been presented in earlier chapters about individual differences affecting interaction, it should be understood

### KEY POINT

Perception affects all that we do.

that perception—or misperception—may create conflict. Or, misperception can masquerade as real conflict in the mind of one party while totally escaping recognition in the mind of the other.

## THE EFFECT OF PERSONALITY DIFFERENCES AND CULTURAL EXPECTATIONS ON PERCEPTION

**KEY POINT**  
Extroverts  
perceive  
differently than  
introverts.

There are many facets of personality that affect how individuals behave and interact. It is helpful to revisit extroversion/introversion and sensing/intuiting relative to perception.

Extroversion and introversion may be considered as the framework for an individual's cognitive structures. If you think of cognitive structures as file drawers, the framework represents the file cabinet. Our sensing and intuiting preferences also affect those structures. An introverted attitude and the intuiting preference are abstracting and internal in nature. An extroverted attitude is concrete and external. The extrovert and the sensor seek to build pragmatic and practical frameworks. The introvert and the intuitor build conceptual and theoretical frameworks.

In perceiving people and things, we seek to develop mental pictures consistent with our cognitive structures. Therefore, the extrovert and the introvert will seek, see, and select different **stimuli** and organize those stimuli differently. The sensor will seek validity in things that can be verified by physical senses. The intuitor will seek the unusual and creative and will see validity in things consistent with his or her conceptual structures.

The sensor tends to organize perceptual stimuli according to experience. The intuitor performs a conceptual process in organizing stimuli. Filtering exercises demonstrate stimuli selection differences between sensors and intuitors. This preference difference often also affects assumptions and judgments about others, as noted in the section on attribution later in this chapter.

### Exercise 1

#### EXERCISE IN PERCEPTUAL DIFFERENCES BY PERSONALITY CHARACTERISTICS

- Pair up with someone who is a strong opposite of you in either or both of the preferences of extroversion/introversion and

## Understanding the Importance of Perception in Negotiation

sensing/intuitive. Try to complete a task together without speaking a word aloud or communicating in any way. You may organize an office or a cabinet. You may draw an object, such as a flower or a building. You must alternate actions. For example, one of you makes a stroke in the drawing followed by the other making a stroke and so forth.

- Try the experiment again with another person whose preferences are like yours.

In Exercise 1, you may have found the other person's perception of organization to be different from yours. You may have found the other person's mental picture of the object drawn to be different from yours. It is likely that in doing the experiment, you found difficulties in completing the task with your opposite. You may have felt a struggle. A difference in approach exemplifies perceptual differences. It is likely that working with the person whose cognitive structures are more like yours felt more comfortable.

Since learning and expectations affect our cognitive structures, cultural differences can also affect our perceptions. For example, as noted previously, high-context cultures value and expect cooperation and collectivism. Thus, someone with an Asian cultural filter may perceive direct confrontation as inappropriate and offensive behavior.

## ATTRIBUTION THEORY

The focus of **general attribution theory** is on the cognitive processes at work in assessing validity of information perceived.<sup>1</sup> Attribution theory provides a model that assists in understanding how people's inferences about the causes of a communicator's statements affect acceptance of or agreement with those statements as well as how inferences affect attitudes toward others. Thus, the following model is used in explaining the role of perception in attitude formation. It also will serve as a base for improving your persuasive abilities.

<sup>1</sup> Much research on the general attribution theory investigates persuasion and other social influence. (See Eagly and Chaiken 1993.) Theoretical approaches to understanding interpersonal perception utilized in this chapter include Heider (1958); Jones and Davis (1965); and Kelley (1973).

## THE ROLE OF PERCEPTION IN ATTITUDE FORMATION

People evaluate the validity of messages for the purpose of acquiring valid attitudes; and, in evaluating validity, people infer cause and motive to the message. We seek to decide whether to accept communication and we seek to decide the causes for the communication. Our perception of the cause affects our acceptance of the message or our assessment of reality. Contextual cues such as the communicator's personal circumstances and the intended recipients of the message are taken into account in inferring cause and motive. We generally engage in these cognitive processes quite unconsciously. Whether we are aware of it or not, our perceptual processes result in our finding reasons, or causes, for the verbal or behavioral message.

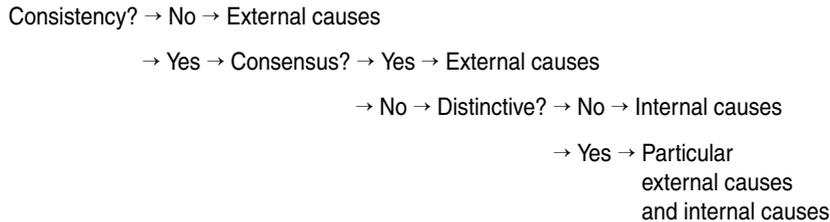
The reason for the message may be attributed to external reality, which is referred to as **entity or environmental attribution**; to the situation; or to the personal characteristics of the communicator, which is referred to as **actor attribution**. We may simplify matters here solely by distinguishing between external and internal causes. That is, the situation and the environment are both external to the person. If external causes are not attributed to the words or behavior, the message is attributed to a cause internal to the communicator/actor.

In selecting the cause, or making the attribution, we assess **consensus, consistency, and distinctiveness**. We evaluate whether or not an individual's behavior is consistent with our prior experiences with *that* individual in similar situations—consistency. We also evaluate whether or not an individual's behavior agrees with that of *others* in similar circumstances—consensus. And, we evaluate whether or not the individual's behavior is distinctively different from prior experience with *that* individual generally—distinctiveness.

If we find low consistency—the behavior is not very similar to how *this* person behaves in other contexts—then we attribute cause to external sources. If we find high consensus—the person acted very much like others do in similar circumstances—then we attribute cause to external sources. If, on the other hand, we find high consistency (this person behaves similarly in other contexts) and low consensus (most people do not behave the same way), we look to the third factor—distinctiveness. We attribute cause to the person when we find low distinctiveness. Finding low distinctiveness is viewing the behavior as typical of this person. If, on the other hand, the behavior is unusual or seems not to fit our expectations for this

**EXHIBIT 1**

**Decision Tree**



person, we find the behavior highly distinctive. Finding high distinctiveness may lead us to attribute cause of the behavior to particular others, events, or circumstances or to a combination of such external factors and internal causes. The decision tree in Exhibit 1 depicts the process.

The repercussion of our attribution affects not only our acceptance of the communication but also our attitude toward the person perceived. The actor-communicator is not held responsible for the positive or negative effects of behavior attributed to external causes. He or she *is* held responsible for behavior attributed to internal causes.

In drawing our conclusions and forming attitudes, we perceive patterns and relate experiences contained in our cognitive structures. We also, of course, use our way of understanding. We relate our prior perceptions from similar circumstances as well as our prior experiences with others who have traits and behaviors similar to those of the person we are currently perceiving.

Our biases, stereotypes, and prejudices are activated quite automatically in this process. If we hold an opinion regarding some group or class of people, we are likely to perceive an individual from that group to be consonant with that opinion. We are affected by past experience—accurate or not. We infer traits and attitudes from behaviors.

We tend to attach a high level of validity or reality to messages we perceive as having both high consistency *and* high consensus. We also tend to make a consistent error in our attributions. We tend to ignore external causes and emphasize internal causes in attributing motives and traits to others. This is especially true when the effects of others' behavior are negative to us. This over-attribution occurs in ascribing traits to others and in attributing what are essentially facets of the circumstances or situation to

others rather than accurately identifying what may be the true existence of traits. Psychologists refer to this phenomenon as the **fundamental attributional error** or bias. This error also occurs quite automatically unless contrary information is clearly available and/or we make a concentrated effort to correct our initial biased perception.<sup>2</sup>

The fundamental attributional error often exemplifies itself as a negative assessment of or a negative attitude toward the other person. That is, when we perceive that something negative has happened to someone else, we attribute the cause to who that person is or something that person did. We blame others for their predicaments. Alternatively, we may fail to believe what someone says, due to our attribution of internal motives on that person's part or to that person's particular way of being. We may also inappropriately blame the person for something bad that happens to us.

Studies suggest that those with an intuitive preference are significantly less prone to the fundamental attributional error (Hicks 1985). This difference is consistent with sensors taking in information from experience as compared to intuitors taking in information conceptually. Prior experience triggers the fundamental error.

## HOW ATTRIBUTION APPEARS IN NEGOTIATION

It may help to pause and consider the application of attribution in a negotiation setting. For example, let us assume that you receive an invoice for a printing and advertising project. The amount due is significantly greater than you expected based upon the estimate provided before work started. Let us also assume that this is the third business arrangement with the person and in each of the prior experiences the bill was larger than the estimate. Also assume that your general experience is that other contractors abide closely to their estimates. In considering a negotiation, do you tend to feel like the cause of the conflict is the other person? Do you feel like the bill is probably overstated?

If you follow the decision tree diagram (Exhibit 1), you will find that it, too, points to an internal attribution. If you committed the typical attributional error, you may also hold an attitude about the other person's motives or possibly his or her credibility. You may, for example, think that the estimate was intentionally low to

<sup>2</sup> See, for example, Gilbert (1989); Gilbert and Jones (1986); and Ross and Fletcher (1985).

obtain the contract. You may think that the bill has been intentionally overstated. You may take things personally by thinking the person thinks you will not challenge the bill. It is possible that you will resist evidence to the contrary, depending upon the strength of your attitude. The reality, on the other hand, may be that certain changes occurred—external factors—that caused a legitimately higher amount to be due.

If we alter our hypothetical example slightly, we can see an example of the fundamental error in another way. If we assume that this project was our first experience with this person, we would have nothing from which to find high consistency. Our attribution tree would predict an external attribution. However, we are likely to commit the fundamental error and form the same negative attitudes as described in our first version.

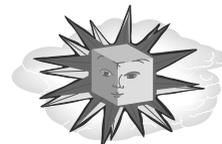
## SELF-SERVING BIAS

While we typically attribute the cause of others' messages and behaviors to internal sources, we are kinder to ourselves! Psychologists refer to this phenomenon as the **self-serving bias**. When we find ourselves saying or doing something less than positive, we attribute the cause to external factors. Maybe the Devil made you do it!

We tend to attribute others' success to external causes and others' failures to internal ones. But, we tend to take credit for our own success and point to others for our failures. It may be that individuals with an extremely high locus of control are less prone to attribute their own failures to external causes. Nevertheless, even internals indulge in the self-serving bias. Once aware of this phenomenon, we can try to check it or minimize its impact on our attitudes and decisions.

## ME, MYSELF, AND I

There are two components to self-other perception. One is that we may perceive ourselves differently than we are perceived by others. That is, either we are projecting a different personality than we believe we are projecting, or we are misperceived by others. A misperception by others may be the result of our behavior or faulty perception on their part. The other component is our accuracy in



## Understanding the Importance of Perception in Negotiation

knowing how we are perceived by others. The difference between self and others' perceptions of an individual is one of the key factors affecting interaction.

George Herbert Mead's (1934) theory of **symbolic interaction** provides a useful perspective in understanding aspects of perception. *Me* is the part of you acting according to what you believe is expected.<sup>3</sup> It is you playing various roles in life. It is based on your perception of expectations for you. *Myself* is you in a third-person tense within a social context. It is how you think others see you. The *I* represents you as a unique individual with your unique interpretations, goals, and desires in the first-person tense separate and apart from the expectations of others.

We have a private self and a social self—*I* and *me*. We may consciously or unconsciously project an image of ourselves that differs from who we are privately. Attempts to influence others' impressions are motivated by our desire to make our public self congruent with our desired self or with what we think we should be. We try to match *me* and *myself*. We may also be trying to change some aspect of ourselves. What we think others attribute to us implicitly or explicitly plays a role in forming our sense of our own perceptions, motives, intentions, and identity.

We see others through our lenses and we think they wear the same lenses. There is an effect of self-perception reciprocal to the preceding one. Our perception of others is colored by our self-perception (Bem 1967, 1972). Exhibit 2 depicts the dynamic interaction of these phenomena.

## RECOGNIZING PERCEPTUAL DIFFERENCES IN NEGOTIATION

### SELF-OTHER PERCEPTION

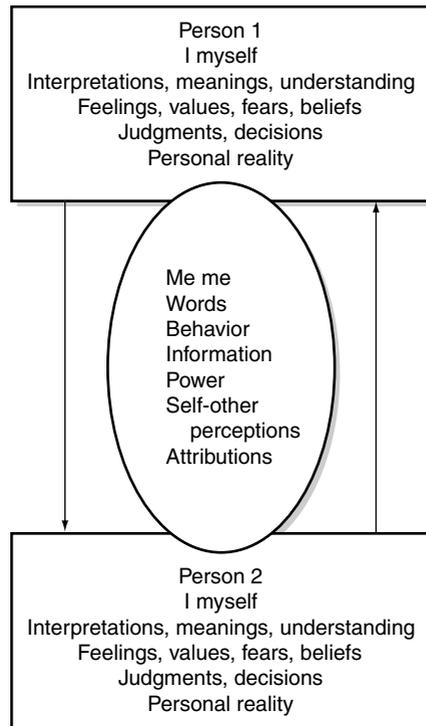
#### Exercise 2

This exercise will provide you with insight on how others perceive you. It will be particularly useful in situations in which you find differences in self-other results.

Ask an acquaintance to share with you his or her perception of each aspect of personality discussed previously in this book. Do the same for that person. Try the experiment again with others. See if

<sup>3</sup> At times, individuals may seek to project a false *me* for some particular purpose or for manipulation. Nevertheless, the perception principles discussed here apply.

**EXHIBIT 2**  
**Dynamic Interaction of Perception and Self-perception**



there are differences in self-other perceptions. Also see if the differences are affected by how close you are to each person with whom you do this exercise.

**Exercise 3**

Another activity that will be fun and will provide evidence of self-other perceptual differences may be conducted like a game in almost any social setting. It is recommended that the game be played with five to twenty people. Each person takes a turn at making three statements about himself or herself. Two of the statements are to be true, and the third is to be fabricated. The statements should describe things that are unlikely to be known by the other participants. The task for the others in each case is to decide which statement they believe to be untrue. After the game is finished, it may prove enlightening to consider what influenced others' perceptions of you.

## GETTING TO KNOW YOUR PERCEPTION PROCESS

### Exercise 4

- Observe for five minutes in a place you know very well. Use all of your senses, but be inanimate. Write a short description of what you saw. Observe without thinking of meanings.
- Observe again for five minutes in the same place, but this time pretend that you are here for the first time from another planet. Write a short description of your observations. Again, observe without thinking of meanings.
- Are your observations different in each case? Why or why not?

This exercise should demonstrate the role of experience, prior learning, context, and frame of reference.

## THE ROLE OF PERCEPTION IN GOALS AND DECISIONS

Since perception affects all that we see, perhaps it is already clear that it affects our goals and decisions. We have already explained how perception affects attitudes toward ourselves and others. We also need to recognize that others may have difficulty perceiving what we think is clear. Furthermore, our perceptions and goals can become distorted. Distortion may cause us to set inappropriate or unrealistic goals. It may also interfere with our ability to see common ground. Our attitudes toward others may be distorted. Distorted goals as well as distorted judgments about others may cause us to make decisions that are not in our best interest.

We can take another look at our earlier example of the invoice conflict. You will recall that the phenomenon of attribution may have caused one party to believe that the invoice was overstated. That attitude or belief may lead to a goal of adjusting the invoice to the level of the original estimate. It may even lead to a refusal to negotiate. Such a goal or decision may be inappropriate or unrealistic.

### Performance Checklist

- ✓ Everyone continually perceives the world and everything and everyone in it. Perception affects all that a person thinks and does. We infer attitudes and make judgments about people and things through perception. We attribute psychological processes and emotions to others. We also attribute intentions and causes for communication and behavior to others. We are

## Understanding the Importance of Perception in Negotiation

prone to the fundamental attributional error of attributing the cause of others' communication and behavior to them personally. We do this particularly when the effects are negative in our view. Those with an intuitive preference may be less prone to the error. We are kinder in our self-attributions than we are in our attribution to others.

- ✓ Perception is an individual process affected by our cognitive style and other personality characteristics as well as by our prior experiences, biases, and prejudices. We tend to assume that others perceive as we do. We try to make sense of our world through perception.
- ✓ We may perceive ourselves differently than others perceive us. We all have a me, myself, and I that may be affected by perception differences.
- ✓ Perception affects not only attitude toward ourselves and others but our goals and decisions as well. In negotiation we should expect goals, communication, and decisions to be affected by perception and reality.

### **Key Terms, Phrases, and Concepts**

Perception

Cognitive Structures

Stimuli

General Attribution Theory

Entity or Environmental Attribution

Actor Attribution

Consensus, Consistency, and Distinctiveness

Fundamental Attributional Error

Self-serving Bias

Symbolic Interaction—Me, Myself, and I

### **Review Questions**

Mark each of questions 1 through 5 as True (T) or False (F) and answer questions 6 through 10.

- T F 1. We each possess mental maps that we use to assign meaning to and make sense of what we perceive.

## Understanding the Importance of Perception in Negotiation

- T F 2. Another name for mental maps is cognitive structures.
- T F 3. One of the major difficulties in negotiation that is presented by perception is that we think others are like us.
- T F 4. Perceived conflict may be mere differences in perceptions, or misperception.
- T F 5. Extroversion and introversion preferences are frameworks for a person's cognitive structures.
6. Name two personality preferences other than extroversion and introversion that affect cognitive structures.
  7. Explain the difference between an individual's cognitive framework and his or her cognitive structures.
  8. Describe the extrovert's process of selecting stimuli and building frameworks.
  9. Describe the introvert's process of selecting stimuli and building frameworks. Distinguish the extrovert and introvert processes.
  10. Explain the role of sensing and intuiting in the perception process. Be sure to include the key perceptual difference between individuals with a sensing preference and those with an intuiting preference.

### Case 1

Tony Taxpayer's return has come up for audit by the Internal Revenue Service (IRS). He took some deductions this year for an office in his home. Amelio Auditor at the IRS has disallowed that deduction and invited Tony to come to the office to discuss that item as well as a few other items on the return. Tony's profession is tax consulting, and he listed his occupation on his return as attorney. Tony has taken several deductions this year that might be considered aggressive; however, Tony believes that he has done no wrong. In fact, he thinks he is being singled out due to his profession. He is short on money and is worried about paying any additional assessment the IRS may make. Therefore, he is planning on giving up the office deduction in order to close the audit as quickly as possible. Amelio has never seen a home office deduction that was proper except for his own during his pre-IRS days as an independent consultant.

**Case Discussion Questions**

1. Apply general attribution theory to analyze and explain each party's attitudes and conclusions.  
Hint: Use consensus, consistency, distinctiveness, and the fundamental error.
2. Explain how perception affected each party's negotiation goals.
3. Apply the theory of symbolic interactionism to each party in the case by identifying where you see each party's "me, myself, and I."

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# Effects of Power in Negotiation

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# Effects of Power in Negotiation

**“Power is the  
ultimate  
aphrodisiac.”**

*Henry A. Kissinger*

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn the major types of power involved in negotiation
- To distinguish between real and perceived power in negotiation
- To practice assessing power
- To learn constructive ways of using power
- To learn about psychological games in negotiation
- To learn the personal impact of power and games in negotiation

## Effects of Power in Negotiation

Your **personal power** is the most critical component in negotiating. That power comes from understanding yourself and using all of the interpersonal skills discussed throughout this book. There are factors that arise in the negotiation process that are usually referred to as sources or types of power. It is important not to be intimidated by these factors.

Generally, the existence or extent of the power will depend upon the counterpart's perception of it and acquiescence to it. That is if, rather than being intimidated or subdued by your counterpart's power or strength, you *appear* unaware of the power, your counterpart's power will actually weaken. Your refusal to recognize or be adversely affected by the power may actually trigger a loss of confidence in the other side.

Conversely, if you are the one with power, you need to be aware of the other side's potential ability to dissipate your strength and play to your needs. In this chapter we identify the major types of power that affect negotiation and that you must assess during the preparation and execution phases of the process. Your goal is to identify the sources and types of power on both sides of the negotiation table, use your powers, and react appropriately to powers held by your counterpart. To that end, we first discuss specific types of power and then proceed to discuss reality versus perception, ways to use power, and the psychological games often played during negotiation.

### TYPES OF POWER

Many authors have addressed power in various terms. French and Raven's (1968) work on the identification of the powers of legitimacy, expertise, reward, coercion, and referent power is, perhaps, the most widely cited. Those five types and six additional types—situation, identification, time, popularity, persistence, and patience—are addressed here.

#### THE POWER OF LEGITIMACY

The **power of legitimacy** is that power derived from real, perceived, or imagined authority. It is usually formal in nature. The power comes in several forms. Television broadcasts, particularly news programs and documentaries, are examples of this power. The

## Effects of Power in Negotiation

printed word is another form and one that is often present in negotiations. We are all conditioned to believe the truth of the written word and other formal publications. Typically, people tend not to question the written word. Preprinted forms, signs, and newspapers are examples of printed words that often warrant challenge.

For example, if someone tells you that his or her preprinted legal contract cannot be amended, you do not have to accept that. It may be certain that the person making such statement has no authority to amend it, but it is not true that you must sign it as is! The person with the actual power to make the amendment decision may not even be aware of your request if you simply acquiesce to the stated power of legitimacy.

### POSITION POWER

Title or position carries a form of legitimacy power often referred to as **position power**. This category includes positions, professional licenses and certifications, and degrees of education. When your counterpart is clearly aware that you know of his or her position power, it would be disrespectful to openly pretend it does not exist or to denigrate it. Disrespect or rudeness always sets a negative tone, which is not conducive to a win-win result. Nevertheless, in situations in which legitimate position power exists and is known, you must guard against letting the apparent imbalance of power diminish your goals and your confidence.

Plan your style of communication with the counterpart's position and self-perception in mind so as not to create offense and conflict. Recognize that your knowledge of your counterpart's expectations and needs, like all other knowledge used in the process, increases your power. Place this knowledge of the counterpart's ego needs into *your* arsenal of personal power to control the situation and persuade the other side to the result you seek.

You should use the power of legitimacy when it is advantageous to you. You should question the power of legitimacy when it appears as a roadblock to your goals. When it is real, you should respect it.

### EXPERTISE POWER

**Expertise power** may be real or apparent expertise about the particular matter under negotiation. Sound preparation will guard you against being subjected to faked expertise power. The one who has

## Effects of Power in Negotiation

real expertise power is at an advantage. It is nearly impossible to avoid ultimately deferring to expert information and support. Note also that sharing any information generally creates a bond between the two parties. Withholding information can intimidate the other side.

### REWARD POWER

**Reward power** can also be real or imagined. If you think that someone can affect you, that person has power over you. Reward power is of varying levels. It can relate to emotions or tangible things. For example, if someone knows that it is important to you to be recognized—even with a warm greeting or a birthday card—that person can affect your emotions and, therefore, your behavior by withholding that recognition. The authority to promote is another example of reward power.

Since negotiation is about fulfilling needs on both sides, reward power is implicit in every negotiation. People will not negotiate unless they are convinced that the other side has the ability to help them or hurt them. At least, people *should* not be negotiating unless there is potential for mutual gain! Therefore, it is important to manage this power.

Preparation in identifying the needs of both sides is the key step to managing this power. When you specify exactly what you will and will not do very early in the process, you diminish your power. Reward power is part of your bargaining arsenal. When someone has or when you perceive that someone has the power to reward you, you need to guard against being diverted from your goal. It is also possible to utilize knowledge of your counterpart's perception of reward power to make him or her feel as though he or she has controlled the outcome. This power can be used to make both sides feel successful.

### COERCIVE POWER

**Coercive power** is the power to do something unpleasant or unwanted to another person. It is a power that is used in a competitive negotiation style. It may be the power to punish or embarrass. If the punishment or embarrassment to which you might be subjected is unacceptable to you, you should not negotiate with the person who holds such coercive power. If, on the other hand, the repercussion is something within a tolerable range and one you are willing to risk

## Effects of Power in Negotiation

suffering, then plan your interaction accordingly. You will have to disregard the other's coercive power in order to attempt to neutralize it. Keep in mind that there is a natural tendency to imagine worse consequences than the other side can actually cause.

### REFERENT POWER

The easiest way to understand **referent power** in the context of negotiation is to relate it to charisma. You will recall that charisma was discussed in another chapter. It is referent power that sells a great volume of merchandise. People buy particular brands of sport shoes because they subconsciously identify with the famous athlete who wears the brand and they want to be like him or her. Referent power is the power you have when another person wants to be like you, to be close to you, or to be liked by you.

Referent power is closely associated with your personality and your personal style. It is not present in all negotiations; however, do not neglect to look for it. An example of the existence of referent power may be in negotiating a venture capital transaction. If you are the experienced business person intending to fund the venture and the counterpart is relatively inexperienced in business, that counterpart may want to be just like you one day. You can use that power in bringing about mutual gain.

### SITUATION POWER

**Situation power** is understood by the fact that the facts and circumstances you face may on occasion simply be to your disadvantage. In such situations especially, you must determine in your preparation stage whether there exists an acceptable alternative to a negotiated agreement. In these situations especially, you must be prepared to either accept what you set as your bottom line or walk away.

As an example, suppose that you become aware of an error on your tax return. In negotiating with the Internal Revenue Service, you must recognize that the balance of power in the situation is not to your benefit!

### IDENTIFICATION POWER

**Identification power** is the power to relate to the other person. It is different from referent power discussed earlier. When you convey understanding, empathy, cooperation, and respect, as well as a

## Effects of Power in Negotiation

willingness to create a mutual solution, you create the power of identification. Identification power is one of the primary forces in persuasion.

### TIME

Time pressure of a deadline bearing down can present enormous power. If you are the one facing time pressure, recognize that you are at a disadvantage. Early and extensive planning are the best antidotes to negative time pressure. Individuals with Type A personality characteristics likely are most susceptible to negative effects from being subjected to this power.

### POPULARITY POWER

**Popularity power** is sometimes referred to as the power of competition or needs. A good example is the fact that people will not loan you money as long as they think you need it and have no options! When you are perceived as needy or desperate, the value of all that you possess declines in the minds of others. If a bank is one of several from which you may borrow money, that bank will be anxious to make you a loan.

If you tell someone of an idea and report to them that the other three people you told love it, that person will likely hear your idea with a receptive mind. The converse, of course, is also true. If you tell someone that your idea was rejected and/or that it is probably not very good, you diminish the value of the idea before you even present it!

### PERSISTENCE POWER

Quiet but resolved tenacity is a powerful tool in negotiation. A proposal rejected once is not necessarily dead! Using the **persistence power** is not continually repeating the same words. It is to resist giving up. It is to find different ways to explain and support your proposal. It is to find additional mutual benefits in your proposal.

### PATIENCE

Patience is often ignored as a power, but it can be the greatest power of all. It applies throughout the negotiation process. Patience in

**“Patience and gentleness is power.”**

*Leigh Hunt*

allowing your counterpart to consider proposals and to answer questions was noted in a prior chapter relative to effective communication skills. Patience is also helpful when analyzing your options and preparing for negotiation. Individuals with Type A personality characteristics will likely find this power somewhat difficult to use.

## **REAL VERSUS PERCEIVED POWER**

You should challenge your perceptions as you identify and analyze power in negotiation. Some powers will indeed be real. You must consider whether the effects of real powers over you are positive or negative and to what degree. Often we imagine greater negative potential repercussions than really exist, as is noted in the description of certain powers in the preceding sections.

Sometimes we also perceive power that does not exist at all. Most powers must be allowed or enabled to produce any effect. Examples of enabling power were also noted in some of the preceding sections. The negative effects of power, particularly misperceived power, are fodder for psychological games. Those games are addressed in a separate section later in this chapter.

It is also necessary to guard against underestimating your power and overestimating the power of your counterpart. Information and knowledge that come from sound preparation are keys to finding power and overcoming misperceptions of power.

## **RECOGNIZING AVAILABLE POWER**

You can practice assessing your perception of and reaction to power regularly. Some simple examples from everyday life are provided here to get you started.

### **Examples in Obtaining Professional Services**

A common phenomenon is to allow professionals to substitute their opinions and judgments for our own in areas outside of their expertise. Those who are the licensed professionals in these situations should guard against substituting their needs and preferences for those of their clients or patients. The powers of legitimacy and

## Effects of Power in Negotiation

expertise run afoul at times in these relationships. At first glance, the following examples may seem trivial; however, they are examples of ignoring and giving up clearly available power. Reflect on the examples to assist you in identifying other situations in which you may be failing to use your power.

### **Your Dentist or Doctor**

Suppose you are having a crown replaced on one of your front teeth. The reason you are replacing the crown is that it has become yellowed over the years. The dentist tells you that the new material that will comprise the new crown will never change color. You, therefore, decide you would like to whiten your teeth prior to the procedure. The dentist tells you that you do not need to whiten your teeth. Furthermore, he tells you that it does not make sense to whiten your teeth and that you should match the new crown to your existing color. His reasoning is that as you age your teeth will yellow. Even if the crown is slightly darker than you currently want, over time all will match. It quickly becomes clear in your conversation that he is not going to sell you the whitening treatment. You know that you are paying a lot of money for your new crown. You know what you want. What do you do? Do you swallow your frustration and accept his opinion? Who is in charge here? Whose smile are we dealing with? Whose preference for color is most important here? Who says that it makes more sense to plan for old age rather than making yourself happy now? You have the power here to get what you want. What would happen if you were to tell the dentist that you will be very unhappy with him in the event that you do not like the color of your teeth and new crown? The last thing he wants is your unhappiness with him!

### **Example in Obtaining Travel Services**

Suppose you learn in March that you must make a trip in June. The trip is absolutely necessary for business; and, since it will occur during a busy travel season, you make your reservations immediately. You inquire about the lowest possible fares. You are told that those tickets would be nonrefundable; however, you cannot accommodate any of the schedules for those low fares. You end up with a regular rate. The airline issues no paper tickets. You receive a confirmation in the mail within a couple of weeks and file it. A short time before the trip, a business conflict arises that necessitates cancellation of your trip. You call to request a refund. The airline representative advises you that your ticket is nonrefundable. You examine the confirmation

## Effects of Power in Negotiation

slip and find no words to that effect. How do you respond? Is your first impulse to accept the situation? What powers are being used by the airline? (The powers of legitimacy, coercion, and situation power are being used by the airline representatives.) What powers are available to you? Can you identify the powers of legitimacy and persistence for your use?

### **Example in Obtaining Home Repair Services**

Suppose you call your neighbor's handyman to have a light fixture in your home changed. You ask the price. He responds that it probably will not be much. He further advises you that when he does those types of things and runs into no problems, the charge is usually \$25.00. He arrives in your home and changes the fixture. At one point, he gets parts from his truck to make a substitution for a piece missing from your fixture. He finishes the job in fifteen minutes. You ask how much to pay him. He asks you if \$45.00 sounds okay because, after all, he had to fix that part for you. Do you just pay? What is the balance of power in the situation? Does he have any power at this point? As soon as he finished the job, he lost his power. If you think \$45.00 is not fair, you have the power to negotiate.

### **Example in Obtaining Retail Goods**

Assume you need a new refrigerator. Your old one gave up the ghost this morning, so you need one today. Before you enter the store, you decide that \$700.00 is your limit. You are in luck because the store is having a sale today. You find a model marked on sale for \$749.99. The salesperson approaches and asks if she should write up the sale. When you do not answer immediately, the salesperson walks away. At that moment, what is the balance of power? Is the salesperson using the power of reverse psychology? Do you consider that you may have power in the fact that the store has enough stock to find it necessary to run a sale? Does the store hold the power of legitimacy? Do you assume that the price is not negotiable? Rather than falling prey to the power of time pressure to get your new refrigerator home, consider using the power of time to your benefit. Perhaps the salesperson is paid on commission and needs more sales today for her next paycheck.

### **Example of Apparent Helplessness**

This final example is provided to emphasize the point that you almost always have some power—regardless of the situation or initial perception. Consider the actions of the prisoner in the following scenario.<sup>1</sup>

<sup>1</sup> This story is adapted from the scenario depicted in Cohen 1980, 54.

## Effects of Power in Negotiation

Imagine a prisoner in solitary confinement. The prisoner is dressed; but he has no belt, no shoe laces, and nothing that he could use in any manner to hurt himself or to threaten others. He smells the smoke from the guard's cigarette. He can see the guard through the tiny porthole of his cell. He respectfully and politely asks the guard for a cigarette. The guard shrugs off the request without comment and continues strolling back and forth. The guard has perceived the prisoner as helpless. The prisoner, however, has different thoughts. The prisoner summons the guard again and politely says that if he is not given a cigarette within the next thirty seconds he will bang his head against the concrete wall until he is bloody and unconscious, and, furthermore, when he awakes he will tell the officials that the guard beat him. The prisoner even admits to the guard that the story will likely not be believed but that there will certainly be an investigation and a lot of inconvenience for the guard. The prisoner also promises to be very good, if only he could have one cigarette. Do you think that the guard gave the prisoner a cigarette?

### THE MANNER OF USING POWER

In addition to recognizing various types of power, it is necessary to understand the effects of how power is used. Power may be used toward constructive or destructive ends. The manner in which it is used will, in large measure, determine its effect. Power may be used over others in aggressive ways to pressure, intimidate, or manipulate. Power may also be given to others or shared with others. Using power in the first way is sometimes referred to as a *power-over technique* (Dahl 1957). Giving and sharing power are sometimes referred to as *power-to techniques* (Dahl 1957).

Since most individuals do not enjoy being subjected to threatening or aggressive displays of power, power-over techniques are generally divisive and result in destructive ends. They fall into a competitive style of negotiation. While most types of power may be used in a power-over manner, the ones particularly conducive to the technique are position, expertise, coercive, reward, and situation.

In some negotiation contexts, the parties hold very different types and degrees of power. It is always the case that if there is nothing potentially to gain from negotiation, a nonnegotiated alternative is likely the best outcome. If the party holding the balance of power nevertheless has something to negotiate, restraint of power is an effective technique. It is important to understand that when a

#### **HOT TIP!**

Do not just give in, but *do* give to.

## Effects of Power in Negotiation

person perceives himself or herself with no power and no options, that person has nothing to lose. When one has nothing to lose, one might do anything. Behavior under those circumstances is hard to predict. The party who thought he or she held all the power may be sadly surprised at the outcome!

Individuals with a high need for personal power are likely to be susceptible to the power-over technique. Such individuals should exercise special care in tempering their impulses.

An often-cited approach to analyzing power is to divide it into three categories—designated, distributive, and integrative (Dahl 1957). This approach is helpful in understanding power-to techniques. Power may be designated to one of the parties by the parties or by the nature of the issues or context. The powers of position and expertise are prime examples of designated power.

Power may be distributed or given to a party. A power-to technique may be used to accomplish a more even power balance for the purpose of increasing the other party's interest and motivation to find mutual resolution. Typically, the most effective technique is to integrate, or share, power. This technique is collaborative in nature and generates constructive, mutually satisfying ends. The act of restraining power often has the effect of integrating power. Individuals with a high need for social power are likely to find the power integration technique quite comfortable.

## PSYCHOLOGICAL GAMES

Another way to employ power-over tactics, albeit in a subtle rather than aggressive way, is to engage in psychological games. In this section, we describe certain psychological games in general that may appear at any stage of the negotiation process. Psychological maneuvers and stratagems are organized, intentional patterns of behavior designed to manipulate the other person. A maneuver is a brief or limited action, while a stratagem is more prolonged and pervasive.

The two major categories of interpersonal, psychological games are *con games* and *head games*. The desired outcome of the con game is tangible. The desired outcome of the head game is emotional, which may be used for the purpose of later gaining tangible value. Psychological games are generally consistent with a competitive style of negotiation.

## Effects of Power in Negotiation

In playing these games, negotiators use disingenuous comments or displays of attitude. The ulterior motive may be to induce a concession or to create an illusion of greater power than exists. These games can disadvantage the other side if they succeed in making the recipient believe that he or she is in the weaker position or, of course, if the recipient makes an unnecessary or unpaid-for concession.

The best defense to a false statement made to exaggerate power is to stop yourself from accepting it without critical internal evaluation and to look for and ask for information that might support or fail to support the illusion. Examples of statements or conduct made to induce a concession include false flattery, feigned weakness, or feigned anger. You must guard against acting on sympathy, guilt, or fear in response to weakness or anger—feigned or real.

Real anger is a loss of control and usually results in making a mistake such as premature disclosure of information. In trying to distinguish between feigned and real anger, watch for signs of loss in control as well as nonverbal signals that confirm or contradict the emotion displayed. An appropriate response to anger may be to show personal offense or embarrassment. You may also ignore it.

Another maneuver often used is for the negotiator to defer to a higher authority. The best rule is to negotiate only with the person who has the ultimate authority or with the person who holds authority on the other side equivalent to the authority you hold. If you find yourself in a position—perhaps after negotiations have commenced—of negotiating with someone who claims lack of authority, do not agree to anything final. Terminate the proceedings until the appropriate individual appears. Your termination of discussions will quickly disclose whether or not the play was a bluff.

Another ploy often used is to begin discussion of a distasteful issue in order to weaken your emotional strength. This psychological game is intended to divert attention from the major issue or issues to be negotiated or the issues on which you may have the stronger position or power.

Bluffing is a maneuver used by some negotiators. Consider this carefully. Bluffing is lying. The other ploys we have discussed are also considered by many to be lying. Good negotiators do not have to lie. Lying is unethical as well as risky conduct. Credibility is important in negotiation. You will have greater success in changing the other side's opinion if you have established your integrity and credibility. As you will see in studying the principles of persuasion later in this book, credibility is extremely important in successful negotiation.

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**“Let us never negotiate out of fear, but let us never fear to negotiate.”**

*John F. Kennedy*

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**“It takes a lifetime to build a reputation, and only a short time to lose it all.”**

*Anne Mulcahy, Chairman and CEO, Xerox Fortune, November 18, 2002*

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## Effects of Power in Negotiation

Regardless of where you personally draw the line, you must be prepared for such ploys from the other side. Everyone does poorly in determining when they are being bluffed. The best protection is sound preparation. It is useful to know that the one who bluffs typically has the weaker hand and the weaker interpersonal skills. It is also useful to know that those who do successfully bluff never do so unless it is absolutely necessary, they are willing to carry out their bluff if called, and they do not ever expose it after they have succeeded!

Sometimes reverse psychology is used in the negotiation process. We tend to want what we think we cannot have! The psychological term for this phenomenon is *reactance* (Brehm 1966). Properly done, this maneuver may be effective on an extremely negative counterpart who has moved into a win-lose attitude. Rather than being competitive in nature, it may be used to neutralize the other side's competitive stance. Such a competitive, negative counterpart will want what he or she thinks you do not want! This maneuver is dangerous and should always be attempted with hypothetical statements such as "what if."

When real anxiety and frustration occur in the negotiating process, reactions may be anger, aggression, flight, distorted thinking, and various defense mechanisms. When you lose your personal control, you may play psychological games on yourself! Examples include rationalizing your position, ignoring the existence of a conflict, or projecting the unacceptable position or motive onto the other side.

### Performance Checklist

- ✓ Your personal power is the most critical component in negotiating. There are at least twelve specific sources or types of power that arise in negotiation: legitimacy, position, expertise, reward, coercive, referent, situation, identification, time, popularity, persistence, and patience.
- ✓ Power may be real or perceived.
- ✓ Power may be designated, distributive, or integrative. Distributing and integrating power are power-to techniques that use power constructively and are consistent with the collaborative style of negotiation.
- ✓ Power is used to play psychological games. Games and power-over techniques are aggressive and competitive and typically generate destructive outcome.

## Effects of Power in Negotiation

- ✓ Most power requires enabling by the person it would affect in order to have any effect. We often permit others to have power over us. The recipient of a con game or head game may counteract such efforts by maintaining self-control and guarding against misperceptions.

### Key Terms, Phrases, and Concepts

Personal Power  
Power of Legitimacy  
Position Power  
Expertise Power  
Reward Power  
Coercive Power  
Referent Power  
Situation Power  
Identification Power  
Popularity Power  
Persistence Power

### Review Questions

Mark each of questions 1 through 3 as True (T) or False (F) and answer questions 4 through 10.

- T F 1. You should avoid negotiating with someone who holds coercive power over you.
- T F 2. Reward power may have a tangible or emotional foundation.
- T F 3. A person is the most powerless when he or she is perceived as having the most need.
  - 4. Which two names are used to describe the type of power described in question 3?
  - 5. Which type of power is present in an organizational gatekeeper who controls the distribution of reports and proposals?

## Effects of Power in Negotiation

6. Explain the differences between and among legitimate power, position power, and expertise power.
7. Explain the difference between referent power and identification power.
8. Identify at least six things that might serve as identification power between you and another negotiator.
9. Describe at least one way in which you may constructively use the power you have in your current daily organizational role.
10. Try to assess the ulterior motive underlying the flattery you most recently received. Did you lose the head game?

### Case 1

Sophia and Isaam are colleagues and peers in the same organization. Sophia is vice president and general counsel; Isaam is vice president of finance. They have been friends for many years and, in fact, completed their MBAs together. They are currently participating in completing due diligence relative to a potential acquisition. Sophia is the project team manager for the acquisition audit/investigation. Sophia and Isaam differ in their perceptions of certain key matters discovered and, therefore, disagree on whether or not to proceed with the acquisition. Sophia maintains that understanding and disposition of the matters require legal expertise. They are about to discuss their findings and recommendations with the CEO who is very excited about going forward with this transaction and generally disdains being told of problems when it means he cannot do what he wants to do.

### Case Discussion Questions

1. Which powers are held by Sophia, Isaam, and the CEO? Which, if any, of the powers you identified are merely perceived, or imaginary?
2. How would you describe the relative balance of these powers?
3. Do you have any suggestions for Sophia that may lessen or eliminate the conflict between her and Isaam?



# Asserting Yourself

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To assess your current level of assertion
- To understand the difference in passivity, aggression, and assertion
- To recognize aggression and its impact on negotiation
- To learn the dynamics of anger and anger management
- To learn assertive behavior and its impact on negotiation

**“If you have a point to make, don’t try to be subtle or clever.”**

*Winston Churchill*

From *Conflict Management: A Practical Guide to Developing Negotiation Strategies*. Barbara A. Budjac Corvette. Copyright © 2007 by Pearson Prentice Hall. All rights reserved.

## Asserting Yourself

In negotiation, if you are to obtain what you desire, you must communicate your desires. The manner in which your needs and desires are expressed significantly impacts success in attaining your goals. In this chapter, we build on the principles of effective negotiation communication outlined earlier in this book by examining the impact of passive, assertive, and aggressive behavior. We examine the role of fear and anger in negotiation behavior. Mastering the material in this chapter will provide the foundation for developing your persuasion skills. We begin with an opportunity to assess your current behavioral patterns.

### ASSERTION ASSESSMENT

Complete the **assertive ACT survey** in Exhibit 1 prior to reading the rest of the material in this chapter.

#### EXHIBIT 1

#### Your Assertive ACT Survey

The questions that follow will assist you in determining the extent to which you act assertively. Three responses are required for each statement. All questions should be answered one column at a time. First, rate the matters for each of the fifty statements in column A for the level of anxiety or discomfort it causes you. Next, cover column A so that you cannot see your answers and rate the matters for each of the fifty statements in column C for the caliber. This column is to record how important the matter is or how much it counts for you. Finally, cover your answers for columns A and C and proceed to rate in column T the frequency with which you take the action indicated for all fifty statements. (If you have *never* found yourself in the situation described, you may skip the statement.)

For columns A (Anxiety) and C (Caliber), use the following scale:

1 = none, 2 = little, 3 = a medium amount, 4 = much, 5 = a great amount

For column T (Taking the Action), use the following scale:

1 = never, 2 = once in a while, 3 = more often than not, 4 = almost always, 5 = always

| A     | C     | T     |   |
|-------|-------|-------|---|
| _____ | _____ | _____ | 1. I refuse to loan my things to others.  |
| _____ | _____ | _____ | 2. I ask for an increase in compensation at work.   |
| _____ | _____ | _____ | 3. I return defective products.   |
| _____ | _____ | _____ | 4. I decline an invitation for an activity I do not like.                                   |
| _____ | _____ | _____ | 5. I decline an invitation when accepting would interfere with something else I want to do. |

## Asserting Yourself

| <b>A</b> | <b>C</b> | <b>T</b> |  |
|----------|----------|----------|--|
| _____    | _____    | _____    | 6. I return food at a restaurant that is not to my liking.   |
| _____    | _____    | _____    | 7. I ask for clarification when I do not understand.   |
| _____    | _____    | _____    | 8. I ask for repayment of loans I have made when they are due.   |
| _____    | _____    | _____    | 9. I ask for a refund when I am overcharged.   |
| _____    | _____    | _____    | 10. I ask for or apply for promotions.   |
| _____    | _____    | _____    | 11. I tell someone inoffensively that they cut in line.  |
| _____    | _____    | _____    | 12. I say my feelings are hurt when they are.  |
| _____    | _____    | _____    | 13. I express my opinions when they differ from others' opinions.  |
| _____    | _____    | _____    | 14. I ask for service assistance or other help when I need it.   |
| _____    | _____    | _____    | 15. I make requests of others to do things for me.   |
| _____    | _____    | _____    | 16. I initiate meetings.   |
| _____    | _____    | _____    | 17. I invite other people to do things with me.  |
| _____    | _____    | _____    | 18. I am the first to speak to business associates.  |
| _____    | _____    | _____    | 19. I speak to strangers.  |
| _____    | _____    | _____    | 20. I tell people how I feel when they do something I do not like.                                       |
| _____    | _____    | _____    | 21. I give compliments to people.  |
| _____    | _____    | _____    | 22. I tell people when I notice something different about their appearance.                              |
| _____    | _____    | _____    | 23. I initiate collection efforts for money owed to me.  |
| _____    | _____    | _____    | 24. When I do not know something, I say so.  |
| _____    | _____    | _____    | 25. I express my feelings to people who bother me.   |
| _____    | _____    | _____    | 26. When individuals invite themselves to join me and I do not want them to, I express my true feelings. |
| _____    | _____    | _____    | 27. I tell people when I think they have been unfair.  |
| _____    | _____    | _____    | 28. I tell people bad news that they need to know.   |
| _____    | _____    | _____    | 29. When I am unable or unwilling to have a conversation with someone, I say so.                         |
| _____    | _____    | _____    | 30. I tell someone that I was not listening to him or her.   |
| _____    | _____    | _____    | 31. I ask for a change of duties, position, or job transfer at work when I want one.                     |
| _____    | _____    | _____    | 32. I admit when I do not know how to do something.  |
| _____    | _____    | _____    | 33. I admit when I make a mistake.   |
| _____    | _____    | _____    | 34. I tell someone when his or her data are wrong.   |
| _____    | _____    | _____    | 35. I tell someone when he or she has made an error.   |
| _____    | _____    | _____    | 36. I say "no" when I want to say "no."  |

## Asserting Yourself

| <b>A</b> | <b>C</b> | <b>T</b> |   |
|----------|----------|----------|---|
| _____    | _____    | _____    | 37. I decline high-pressure efforts to get me to do something that I do not want to do. |
| _____    | _____    | _____    | 38. I resist sales pressure for things I do not want.                                   |
| _____    | _____    | _____    | 39. I resist peer pressure to spend money I cannot afford to spend.                     |
| _____    | _____    | _____    | 40. I resist solicitations for money I cannot afford to give.                           |
| _____    | _____    | _____    | 41. I say that I am angry when I am angry.  |
| _____    | _____    | _____    | 42. I say things that accurately state what I feel.                                     |
| _____    | _____    | _____    | 43. I say things that accurately state what I think or mean.                            |
| _____    | _____    | _____    | 44. When I make an error and when I hurt or offend someone, I apologize.                |
| _____    | _____    | _____    | 45. When someone provides constructive criticism of me, I seek more information.        |
| _____    | _____    | _____    | 46. I look people in the eyes when I talk to them.                                      |
| _____    | _____    | _____    | 47. I say what I am afraid of.  |
| _____    | _____    | _____    | 48. I inquire about others' feelings.   |
| _____    | _____    | _____    | 49. I find it easy to tell others that I like them.                                     |
| _____    | _____    | _____    | 50. I find it easy to receive compliments.  |

### Scoring Your Assertive ACT Survey

Total column A \_\_\_\_\_ Total column C \_\_\_\_\_ Total column T \_\_\_\_\_

[If your C score is less than 150, the results are unclear. Skip to the note at the end of this section.]

Compute the percentage your T score is of your A score. \_\_\_\_\_ percent

Examples: T score of 120 divided by A score of 160 = 75 percent

T score of 200 divided by A score of 160 = 125 percent

Generally, the closer the relationship between A, C, and T, the more assertive you are.

T scores of 90 percent and above = very assertive.

T scores of 75–89 percent = fairly assertive.

T scores below 75 percent = not assertive.

A and C scores are expected to be within fifty points of each other:

If your C score is more than fifty points greater than your A score, *but* your T score is 85 percent or higher, *good work!* Keep doing what you do!

If your A score is more than fifty points greater than your C score, *and* your T score is 75 percent or higher, investigate your underlying fears while you continue to work on your assertive behavior.

Your low C score may make the results on this survey unclear. If more than three statements were left unanswered, for example, your score is unreliable. You may want to try a free-form assessment by thinking about how you act with regard to the things in life about which you care the most.

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Source: Survey adapted in part from E. D. Gambrell and C. A. Richey, *Behavior Therapy* (1975; repr., 6 DeJanasz-Dowd-Schneider, *Interpersonal Skills in Organizations*, chapter 5, McGraw-Hill, 2001), 550–61.

## PASSIVITY, AGGRESSION, AND ASSERTION DEFINED

Failing to try to make your opinions and desires known is **passive behavior**. Failing to address conflict is passive behavior. Passive behavior is keeping your feelings to yourself. Avoiding interpersonal conflict and avoiding negotiation may be passive behaviors. Bear in mind, as noted in previous chapters, that an avoiding approach to interpersonal conflict is sometimes appropriate. However, an avoidance approach does not *have* to be synonymous with passivity. It is possible to be assertive even in those situations in which you have chosen not to engage the conflict or not to negotiate, as explained later in this chapter.

Aggression comes in two styles—passive and hostile. **Passive-aggressive behavior**, like plain passive behavior, is failing to specifically address or make known your opinions and desires. With passive-aggressive behavior, however, rather than simply keeping one's feelings to oneself, one acts out. Fears, frustration, and anger are expressed in *indirect* actions such as sarcasm and other signals intended to be subtle expressions of conflict, dislike, disrespect, or disapproval. Being *avoidably* or habitually late for meetings and appointments, for example, is passive-aggressive behavior.

**Hostile-aggressive behavior** is *not* so subtle. It is striking out with *direct* impolite or belittling comments. It is directing comments to the *person* of the other rather than to the substance of the matters at hand. Hostile-aggressive behavior may range from mild to severe. Hostile-aggressive behavior is competitive, but one need not be aggressive when using a competitive negotiation style or tactic, as is explained later in this chapter.

## PASSIVE-AGGRESSIVE BEHAVIOR AND ITS IMPACT ON NEGOTIATION

Passive-aggressive behavior is, at best, noise in the communication channel. It impedes understanding necessary to find common ground and resolution. It may be perceived, consciously or unconsciously, as insulting. At its worst, passive aggression leads to hostile aggression and a continuing negative interaction spiral. Aggression, even in the passive form, may inhibit our cognitive abilities because we are somewhat angry and misdirected in our thinking.

## Asserting Yourself

In some sense, we expect the other person to read our minds when we engage in passive-aggressive behavior! Have you ever said aloud or to yourself following an interaction, “He certainly must have known that I didn’t want to do that”? If you don’t express yourself or ask for what you want, you will likely not get it.

We often engage in passive-aggressive behavior unconsciously. We acquire habits of using such behavior. Passive aggressiveness may be expressed not only through words but through body language and physical arrangements as well. Leaning back and placing your feet on the top of the desk while talking with someone is likely to be perceived as passive aggressive behavior. Leaning back and placing your hands behind your head, likewise, may be perceived as passive aggression. Both of these gestures can convey lack of respect or offensive domination.

### HOSTILE-AGGRESSIVE BEHAVIOR AND ITS IMPACT ON NEGOTIATION

**“Strong and bitter words indicate a weak cause.”**

*Victor Hugo*

Aggression is an attack. While passive aggression may miss the mark or go *consciously* unnoticed by the target, hostile aggression will be received! When you feel attacked, how do you respond? Our instincts can cause us to want to strike back or seek revenge. Except in an emergency situation (for example, when you physically remove another person from danger), not much that is positive or constructive can come from aggression.

When negotiation becomes hostile, the parties no longer communicate. Thus, at best, hostile aggression will lead to no agreement. At worst, it will lead to a bad agreement or, perhaps, physical violence. Where there is hostile aggression, there is a dominance of anger. Anger causes our intellectual and creative abilities—the very abilities we need to negotiate—to shut down.

### THE IMPETUS FOR PASSIVE AND AGGRESSIVE BEHAVIOR

Interestingly, all three behaviors we have discussed—passive, passive-aggressive, and hostile-aggressive—have a common source—fear. From fear comes anger. Individuals respond in their own way to fear and anger. While specific fears differ from individual to individual and from situation to situation, the root of fear invokes our self-esteem in some way. Therefore, to understand why we act in a manner that is passive, passive-aggressive, or hostile-aggressive,

we must understand the dynamics of anger and investigate our fears and self-esteem.

## THE DYNAMICS OF ANGER

Anger creates distress and physiological changes. It reduces cognitive functioning. It increases blood pressure. One notable physical sign of anger is enlarged eye pupils. Redness in the face caused by the rush of blood may also be noticeable. Unresolved anger may lead to inward or outward aggression.

Anger is not mere frustration. Anger is debilitating. Anger is wishing that someone or some thing were different. Anger leads to aggression—passive or hostile. Anger is a loss of control—in effect, temporary insanity! The anger is in control, not you. When you are out of control, you cannot think clearly or rationally. You will have poor judgment and make poor decisions. Anger begets anger. It is *not possible* to change the other person through anger. Quite the contrary; your anger will entrench the other person's position and/or create anger on that person's part. Once that occurs, two people who are temporarily insane are attempting to negotiate!

You cannot effect a productive change while under the influence of anger. You must regain self-control before you can change yourself, the situation, or the other party's opinion. To get control, you must examine the underlying fear that is causing your anger.



**“You cannot make a crab walk straight.”**

*Aristophanes*

## FEAR

The root of all anger is fear. Fear makes us feel vulnerable. It triggers our fight-or-flight instincts. We may respond to fear by holding in or striking out. We may instinctively want revenge when we feel slighted.

Fears involved in negotiation may include those of not getting what you want, not winning, not being liked, not being respected, not being accepted, not being understood, not knowing enough, not being competent, or not being seen in the light you prefer. You may also fear losing, appearing stupid, being manipulated, being overpowered, or that resources are scarce. Try to identify other fears you have had in preparation for or during your negotiation experiences. Did the fear assist your negotiation in any way?

## Asserting Yourself

Fear may lead you to be passive, to avoid, or to disengage. A pervasive or regular pattern of passive behavior is likely to be related to unacknowledged fears. Even when you behave passively, your fear can lead to anger turned inward. When fear does give way to anger, you may express the anger in passive-aggressive or hostile-aggressive behavior. All three behaviors damage your negotiating ability.

Fear leads to competitive thinking and, thus, impedes successful negotiation. Now see if you can identify a common theme in these fears. The common theme is *you*—your self-esteem!

### SELF-ESTEEM

Our **self-esteem** is our personal sense of value and worth. Individual beliefs and values affect self-esteem. Our perception of how others view us also affects our self-esteem. Our fears are our worries that our self-esteem will be damaged. We fear that we will not be as good as we think we are or want to be. We fear that others will think less of us. We then protect ourselves by holding in our fears and/or succumbing to anger. In either case, the behavior is one of powerlessness; and a feeling of powerlessness exasperates the fear and anger!

The next section of this chapter provides tools for **anger management** that will also help you to identify and conquer your fears and build your self-esteem. Following that, we discuss assertive behavior. Identifying your fears, managing your anger, and building your self-esteem will help you to behave assertively. Assertive behavior is critical to negotiation success. You will find that there is a dynamic interaction between self-esteem and assertion. If your ACT score was low on the survey in Exhibit 1, it may reflect a need to increase your self-esteem. Practicing one will assist you in developing the other.

### ANGER MANAGEMENT TOOLS

In order to better control and manage your anger, you will have to identify your fears and confront them by determining whether there is something real to fear or whether there is a misconception

## Asserting Yourself

at the root of the fear. If the fear is not realistic, your anger should subside. You may ask yourself what you are gaining from the anger. Try to engage in alternative, open thinking. If the fear *is* realistic, investigate what you may do to get rid of it. What can you do to take yourself out of harm's way? What are your options? What are your needs?

If you are one who is typically quick to anger or whose anger escalates quickly, you may find it useful to regularly practice the techniques in the list provided in Box 1. It may also be insightful, while you are *not* angry, to talk with someone who regularly sets you off. Be open, using the assertion techniques in this chapter, to discussing each others' perceptions and feelings.

As mentioned earlier in this chapter, many of your fears likely relate to your self-esteem. You may follow the steps provided later in Box 2 for increasing your self-esteem. You should also find it useful to practice the assertion-building tools presented later in this chapter in Box 3.

**“Even a paranoid  
has some real  
enemies.”**

*Henry A. Kissinger*

### ANGER MANAGEMENT TECHNIQUES

#### Box 1 Anger Management

- Check your perceptions. Check your approach. Challenge your thinking.
- Recognize your anger.
- When you feel anger, stop! Hold your breath for ten seconds. Try to postpone your anger.
- It's okay to say, "I am angry. I need a moment."
- When you are angry, think about things that make you smile.
- Identify what you are afraid of. Determine whether or not the fear is realistic.
- Determine what you can do to get rid of the fear. Do it!
- Ask yourself how important the fear is relative to other values and goals. If today were your last day on earth, would what you fear matter?
- If you are angry about something past that you cannot change, change your perception and understanding. Release the anger. Forgive.

## Asserting Yourself

- Think creatively in alternative terms. For example, when that car darts in front of you on the road and slows you down, consider whether that event may be keeping you from a ticket or an accident up the road!
- Challenge your thinking more! When someone is late, are you angry because you fear that person does not value your time or value you? When the deal will not close, are you angry because you fear you will run out of time? When things do not go in the order you prefer, are you angry because you fear you will not get what you want? Recognize your value and worth. Recognize that you have options. Speak your concerns and desires. Do not get mad!
- When someone is angry with you, acknowledge the anger rather than responding in anger.
- Before you lose control with someone else and as a last resort, scream into a pillow.
- Catch yourself in your rage. Silently tell yourself, "Good job for catching yourself!" Tell yourself that you slipped but are now in control.
- Build your listening skills.
- Build your internal locus of control. Decide what you can do and what you cannot.
- Build your self-esteem.
- Build your assertion skills.
- Maintain a journal on your daily encounters with your anger and fear, detailing how you felt and how you handled them.
- Smile and laugh more. It is not possible to be both angry and happy or to think love and anger at the same moment.
- Fall in love with a pet. As you care for that pet, observe the pet's forgiving and loving attitude and demeanor. (Note that although this is a highly recommended and effective technique, you must first ensure that you can trust yourself not to vent your anger on the pet.)

### **Box 2 Increasing Self-Esteem**

1. When you or someone else says something negative to you as a person, cancel it. Tell yourself that it is not true. Differentiate between actions and the person.

## Asserting Yourself

2. Focus on all of the things about yourself that you like. Tell yourself that you like yourself. You may say, "I am a competent person," and "I am a nice person."
3. Identify your accomplishments every day and congratulate yourself on them.
4. Visualize yourself the way you want to be.
5. Search for positive adjectives that describe you.
6. Resolve to fix the things about your behavior that you do not like, but do not confuse them with being a lesser or bad person.
7. And, yes, care for a pet! That creature's love for you will make you feel better about yourself!

### **Box 3 Assertiveness Training Steps**

- Greet people. Be the first to speak.
- Give compliments to others.
- Use / language regularly to express your perceptions and feelings and desires.
- Express your feelings when they happen.
- Ask others to explain their reasoning, but do this using / statements such as "I would like to hear the reasoning for that."
- Speak up when you do not agree.
- Make eye contact.

The foregoing may sound simple. Try an experiment that will demonstrate how powerful these steps can be. Think of something that makes you angry. It may be something or someone who regularly makes you angry. It may be a recent experience that is fresh in your mind. Try to feel the anger. Now that you are angry, take a look at the photograph in Exhibit 2.

Are you still angry? All of the preceding advice should help. The power of a pet just may be the best help!

Remember that controlling your anger will make you a better negotiator.

**EXHIBIT 2**

**Dr. Cocoa**



**INCREASING YOUR SELF-ESTEEM**

Your unconscious mind absorbs your thoughts and words, as well as the words of others, as though they are true. When those thoughts and words are negative toward you, your self-esteem may be negatively affected. Your self-esteem affects your confidence, or lack thereof, and affects your negotiation performance.

The more you are with persons who make you feel good about yourself, the better it will be for your positive self-esteem. If you find yourself regularly with people who make you feel inadequate or negative about yourself in some ways and you cannot choose to be away from them, you should assertively confront them with your feelings and desires. You may also follow the items listed in Box 2 to increase your self-esteem.

**ASSERTIVE BEHAVIOR AND ITS IMPACT ON YOU AND NEGOTIATION**

Assertive language and assertive behavior reflect your feelings and desires. Being assertive is to own your feelings and desires and to express them in nonoffensive ways. Being assertive is to attack the issues rather than the people. Assertion is speaking up and voicing your opinions when you disagree.

## Asserting Yourself

The most useful way to identify and practice assertive behavior is to watch for and use *I* statements in specifying and clarifying matters in conflict. To be assertive, a statement should also comply with five criteria. It should (1) specify the particular behavior or issue to which you want to speak; (2) contain your feelings about the behavior or issue; (3) explain the effect on you of the particular behavior or issue; (4) empathize with the other person's view; and (5) offer, or indicate openness to, a solution. Because assertive language is comprised of *I* statements and is specific, it forces us to think before we speak, to focus our thoughts, and to refrain from insulting the other person. Thus, it also helps in anger control. Further, because when we are assertive we are taking care of ourselves, it helps increase self-esteem as well as helping to resolve internal conflict.

Assertive behavior fosters communication and resolution in negotiation. Assertive behavior fosters cooperation and collaboration. However, it may also be utilized when you choose to avoid—or not negotiate—a conflict. Rather than avoiding with nothing more, you may assertively explain your position and decision to not engage. Similarly, using assertive language, a competitive negotiation (such as purchasing a car, for example) may be spared destructive negative escalation.

The steps listed in Box 3 can be used to practice your assertion every day. It is often helpful to maintain a journal on your assertion-building progress.

### Performance Checklist

- ✓ Your assertive ACT survey score provides you with information for improving your negotiation effectiveness.
- ✓ Communication behavior may be passive, passively aggressive, aggressive, or assertive. Passive behavior is keeping your feelings and desires to yourself. Passive-aggressive behavior is expressing yourself in indirect ways that are unlikely to be understood by others. Aggressive behavior is direct and offensive. Assertiveness is expressing one's feelings and desires in a manner that accepts responsibility. It is to own one's feelings and to craft communication with *I* statements that focus on issues rather than individuals.
- ✓ Passive, passive-aggressive, and aggressive behaviors are noise in the communication channel at best. At worst, they

## Asserting Yourself

beget anger and precipitate a negative, destructive spiral of interaction.

- ✓ Fear and anger, particularly as they relate to self-esteem, are at the root of these ineffective behaviors. Anger is a loss of control. Fear and anger impede the very cognitive abilities critical to negotiation success. Anger-management and self-esteem-building exercises are helpful in beginning to develop assertive negotiation behavior.
- ✓ Negotiation requires communication of desires. Assertive communication is the foundation for persuasive argument and negotiation success.

### Key Terms, Phrases, and Concepts

Assertive ACT Survey

Passive Behavior

Passive-Aggressive Behavior

Hostile-Aggressive Behavior

Self-Esteem

Anger Management

### Review Questions

Mark each of questions 1 through 7 as True (T) or False (F) and answer questions 8 through 10.

- T F 1. Assertion is mild aggression.
- T F 2. Aggressive behavior is acceptable in negotiation as long as it is not hostile-aggressive behavior.
- T F 3. Anger creates physiological changes.
- T F 4. The root of all anger is fear.
- T F 5. Some people think best when they are angry.
- T F 6. The root of low self-esteem is fear.
- T F 7. The cause for low assertion may be low self-esteem.
- 8. Name five things you can do to increase your assertiveness in negotiation.
- 9. Identify two anger-management techniques that you will begin utilizing.

## Asserting Yourself

10. Analyze your behavior for passive-aggressive characteristics that you may begin to work to change.

### Case 1

Dulce has been with her organization for three years and has received outstanding performance evaluations. Farai came on board one full year later than did Dulce. Based upon what Farai has said, Dulce believes that Farai is earning the same amount of salary as she does although he is at a lower rank. Dulce has been fuming about Farai's salary. It appears objectively clear to everyone that Dulce has superior educational and experiential credentials. Rumor has it that Farai is not performing very well, although rumor also has it that Farai and the vice president have become pretty chummy.

Dick, the vice president, has come into Dulce's office and says the following: "I wanted to be sure that you were told before the information is generally disseminated. We are promoting Farai to director of the division. You know that you are invaluable in the work you do. We cannot afford to lose you to administrative matters that Farai will be performing. I hope that you will give Farai your full support. Thank you."

Dulce responded, "Oh, if you had offered it to me, I would have declined. I don't want administrative work."

### Case Discussion Questions

1. Is Dulce's behavior merely passive (unassertive) or passive-aggressive? Why or how?
2. What effect is Dulce's behavior having on Dick? What effect is Dulce's behavior having on her and her working relationships?
3. If you were Dulce, what would you want? Create a script for Dulce that is assertive communication designed for effective negotiation.

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# Principles of Persuasion

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# Principles of Persuasion

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To recognize the difficulties of persuasion
- To learn the fundamental keys of persuasion
- To learn when persuasion is unlikely
- To learn the role of diplomacy in persuasion
- To practice your persuasion skills

**“Many can argue;  
not many  
converse.”**

*Louisa May Alcott*

## Principles of Persuasion

Principles of getting along with people generally apply to the negotiating process. One such principle is that people like to make their own decisions and judgments. In persuasion, we must deal with others' perceptions and inferences as well as convince them of the validity of our arguments. Therefore, in persuading people, your job is to lead them with information demonstrating that the result you want is beneficial, or not harmful, to them. You have a better chance at persuasion when you can show that a proposal is good for both (all) sides.

Persuasion is difficult until you have the keys. However, what is understood about cognitive processing suggests that persuasion is *impossible* at times. Previously in this book, we discussed coming to *GRIP* with your overall strategy and goals, including the process of assessing relative powers. In this chapter, we build on that material and utilize additional psychological theories to show you how to use your *ACES* and cross the *CREEK* to persuasion. We also discuss principles that will help you identify when you and others may not be persuaded. Just as with the other skills necessary for successful negotiation, you may have to practice persuasion techniques. Practice exercises are provided in this chapter.

### SOCIAL JUDGMENT THEORY

People search for validity in perceiving and assessing information. We also know that individuals perceive through their individual lenses and automatically infer reasons for or causes of verbal and behavioral communication. With knowledge of perception and attribution as a base, we may explore further cognitive processes involved in persuasion. Since attitudes, opinions, and beliefs are all dynamically interrelated—any one can affect another—what we discuss here applies to all three. The word **attitude** describes a positive or negative or good versus bad feeling about something or someone. The word *opinion* describes a position on something or someone. *Beliefs* are what one knows to be true. When the word *attitude* is used in this chapter, however, the principles apply equally to opinions and beliefs.

**Social judgment theory** emphasizes the effects of prior attitudes on perceptions of others' attitudes and on the related influence of persuasive communication (Eagly and Chaiken 1993). The focus is on distortions in perceiving attitudes of others. The theory explains certain phenomena that occur prior to processing persuasive or argument-based communication. The research helps us understand attitude change (Petty and Cacioppo 1981, 1986).

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At the core of social judgment theory are the assumptions that people know their attitudes and are able to determine what attitudinal changes they are willing to accept or reject. Each message is compared to the individual's current attitude. If the message is close to the existing attitude, change may occur; but, if the message is too far off, the individual will reject the message and leave attitude unchanged. To understand the theory, it helps to conceptualize attitude in segments and from two perspectives. People have a **latitude of commitment** in which their attitudes or beliefs are firm. People also have a **latitude of noncommitment** or indifference, in which they hold no attitude or opinion or hold attitudes to which they are only lightly committed. People perceive persuasive messages in a range of similarity and dissimilarity. That perception creates a **latitude of acceptance** and a **latitude of rejection**. The next section addresses where resistance is likely and how such resistance may or may not be overcome.

### LATITUDES OF COMMITMENT, NONCOMMITMENT, ACCEPTANCE, AND REJECTION

The latitude of commitment is where change or persuasion is least likely to be successful. That is because we are referring to firmly held positions, attitudes, opinions, or beliefs. Some portion of the latitude of commitment will clearly constitute the person's latitude of rejection. That is, statements that are squarely inconsistent with attitudes and beliefs in the latitude of commitment will be rejected. Some portion of the latitude of commitment will, however, be within the person's latitude of acceptance! That is, attitudes perceived to be substantially the same as or consistent with committed attitudes *will* be accepted.

Attitude will change only when the persuasive message is perceived to be within the latitude of acceptance or the latitude of noncommitment or indifference. The persuasive impact is greatest in the latitude of noncommitment (Hovland, Harvey, and Sherif 1957; Peterson and Koulack 1969). It is easiest to persuade one who holds no prior opinion or attitude on the matter.

Research has also confirmed the existence of a **disconfirmation bias** in the evaluation of messages or arguments (Edwards and Smith 1996). That is, arguments incompatible with prior beliefs are scrutinized longer, subjected to more extensive refutational analyses, and judged to be weaker than arguments compatible with prior

beliefs. Furthermore, it has been established that people are *unable* to evaluate communication or evidence independently of prior beliefs (Edwards and Smith 1996).<sup>1</sup>

We tend to accept at face value arguments that sound to us to be compatible with our prior beliefs. We tend to scrutinize arguments we perceive to be incompatible with our prior beliefs. We even try to undermine evidence that is contrary to our beliefs. This bias has been found in both inductive and deductive reasoning (Edwards and Smith 1996). There is an automatic activation in memory of material relevant to the arguments we hear as incompatible with our beliefs. We typically report more information in the process of evaluating an incompatible argument than we report when evaluating a compatible argument.

Unconscious cognitive phenomena also affect persuasion. The automatic errors and biases discussed previously in this book occur in evaluating persuasive messages. Furthermore, we experience discomfort when presented with conflicting information. The additional unconscious cognitive processes involved in persuasion are addressed in the next section.

## COGNITIVE DISSONANCE

People perceive attitudinally similar statements as more similar than they are in reality, and vice versa (Sherif and Sherif 1967; Sherif, Sherif, and Nebergall 1965). This is similar to the principle referred to as *false consensus bias*, which is the tendency to believe that others share our attitudes and behaviors (Ross, Green, and House 1977). This is also somewhat similar to the phenomenon of **cognitive dissonance**. This research provides insight to additional unconscious processes involved in persuasion.

*“Cognitive dissonance* is a state of tension that occurs whenever an individual simultaneously holds two cognitions that are psychologically inconsistent. The existence of dissonance, being psychologically uncomfortable, will motivate the person to try to reduce the dissonance and achieve consonance. . . . The strength of the pressure to reduce the dissonance is a function of the magnitude of the dissonance” (Festinger 1957, 2, 3, 18). Dissonance, or psychological discomfort, may arise when an individual tries to entertain one or more thoughts that are inconsistent with an existing attitude

<sup>1</sup> See also Batson (1975); Cacioppo and Berntson (1994); Chapman and Chapman (1959); Darley and Gross (1983); Ditto and Lopez (1992); Geller and Pitz (1968); Koehler (1993); Kunda (1990); Lord, Ross, and Lepper (1979); Nisbett and Ross (1980); Ross and Lepper (1980); and Sherif and Hovland (1961).

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or belief or are inconsistent with each other. It can also arise when an individual behaves in a way that is inconsistent with one or more thoughts or an existing attitude or belief. Since human beings do not like mental discomfort that comes with dissonance, they try to eliminate or minimize it.

Attempts to reduce dissonance occur unconsciously and make attempts at persuasion more difficult. Cognitive dissonance may help in understanding why attempts to persuade within another's latitude of rejection are likely to fail. The only way to eliminate dissonance is to change one or more relevant elements—thoughts or behaviors. The relative value or importance of an element may be changed. One or more elements may be rejected. One or more elements may be added. Forgetting is another way individuals reduce dissonance or effect change. Our perception may play tricks on us while we undertake attempts to reduce dissonance.

Cognitive dissonance can cause us to engage in selective perception. We attempt to avoid information that may increase discomfort. We experience a drive toward mental harmony and balance. Thus, in addition to what we already know about different personalities perceiving differently, when one seeks to eliminate dissonance, one distorts perceptions. Dissonance is not limited to logical inconsistencies, and reduction steps need not be logical to others. The dissonance and balance are in the mind of the perceiver. Examples will help you understand the effects of dissonance in persuasion.

The harmful effects of tobacco are well-voiced, yet individuals continue to smoke and chew tobacco. Their behavior is inconsistent with research and warnings. A person may hold a strong belief that smoking is not harmful. Let us consider such belief to be in that person's latitude of commitment. A warning that smoking is harmful is, then, in his or her latitude of rejection. Considering the warning about tobacco creates cognitive dissonance.

The warning will be subjected to great scrutiny and attacked with counterarguments. Dissonance-reduction efforts may include reducing the value of the research or rejecting it altogether. Another rejection technique may be to accept the research as to others but to add the belief that the negative effects do not apply personally. Such a person is likely to quit using tobacco only if he or she becomes persuaded that the belief about personal effects is in error. That may be a tough persuasion exercise since it is in the person's latitude of rejection and subject to dissonance-reduction distortion in perception! Nevertheless, understanding the psychological processes will enable us to focus persuasive efforts where they are likely to be the most successful.

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As another example, let us say that you have been working sixty hours per week during the last eight months. You are understaffed, but you are meeting all deadlines. You believe that you are a stellar employee. Your boss gives you a less-than-stellar performance review. You are likely to perceive the review as incompatible with being a great employee. You may engage in the false consensus bias by perceiving the review as not so bad. If your boss shows you some of your errors along with the negative repercussions caused, you may engage in the disconfirmation bias. You may refute or minimize the allegations and errors. You may be unable to see the errors. You may even add the thought that the boss is out to get you! That would be one way to reduce dissonance. It counteracts the imbalance created by the poor review.

You may substitute something you do or consume that others say is harmful and analyze your own cognitive processes to more fully understand these concepts. Dissonance and reduction efforts will be increased proportionally with the importance of the matters causing discomfort. The greatest reduction efforts are seen when the self-concept or ego is involved.

### NEGATIVITY BIAS

That human beings are subject to a **negativity bias** is well established in the research.<sup>2</sup> Negative information weighs more heavily than positive information in forming evaluations (Ito, Larsen, Smith, and Cacioppo 1998; Skowronski and Carlston 1989; and Peeters and Czapinski 1990). Evaluations of others are less favorable than a mere averaging when a negative is introduced (Anderson 1965). This phenomenon underscores the importance of searching for common ground and information that will be perceived as positive and beneficial when attempting to persuade.

In constructing persuasive arguments, it is a good idea to lead with the information most beneficial to the other party. Starting with the least beneficial item or effect or starting with negative aspects is likely to cast a negative cloud over the person's perception. Good news, bad news is an appropriate approach!

<sup>2</sup> See, for example, Ito, Cacioppo, and Lang (1998); Ito, Larsen, Smith, and Cacioppo (1998); Kanouse and Hansen (1972); and Peeters and Czapinski (1990).

## PREPARING YOUR ARGUMENTS TO PERSUADE



Understanding the psychological processes discussed thus far should help you understand that there is a big difference between mere argument and communication that persuades. There are some rather simple, practical steps you can follow that will allow you to maneuver through the psychological complexities in a way most likely to be successful.

You must find and advance a benefit for the other party while admitting the benefits to you. You must arm yourself with sound support for your argued positions. You must communicate in an empathic way that connects the parties. You must be credible. And, finally, you must advance a reason for the other to agree. The sections that follow address this work in more detail.

## GOING FOR ACES

Yes, persuasion can be difficult, but it is possible! There are keys that will help you overcome the psychological difficulties noted. In going for **ACES**,<sup>3</sup> we are talking about finding a reason for the other to agree. It is the focus of your appeal. As others search for validity in what you propose, they need at least one reason for attaching validity. For each argument you advance, you need only one *ACE*; however, the more *ACES* you have, the more likely will be your success. If you focus your arguments toward one of the four *ACES*, you are likely to persuade.

The *ACES* are appropriateness (*A*), consistency (*C*), effectiveness (*E*), and things special to the person or circumstances involved (*S*). Arguing appropriateness is arguing that it is the right thing to do. If what is proposed is consistent with the other person's perspective of what is right, it should fall within that person's latitude of acceptance. Consistency arguments appeal to a person's sense of justice and fairness. They also provide the comfort of psychological balance.

Effectiveness is found in an outcome desired and in solutions that bring about the best result for all parties. A special appeal may be used where, despite extreme effort on both sides, circumstances do not permit the most desired outcome. Your proposal may be the next best alternative, albeit only partially effective.

<sup>3</sup> Credit for the *ACE* approach is given to Reardon (1991). What is proposed here is a slight variation from Reardon's model.

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It must be remembered that your appeal must be perceived as an *ACE* from the perspective of the *other*. Personality and cultural differences may affect what the other person values as an *ACE*. If you believe that something is appropriate but your counterpart holds a different value system, your appeal may be rejected. Usually, however, appeals to appropriateness hinge on professional, ethical, or legal standards generally observed.

You may appeal on the grounds of consistency where, for example, you are asking the other to return a reciprocal action on your part. You may also use consistency where your proposal would rectify a prior error or injustice.

Effectiveness is often the most successful appeal. Everyone wants their problems solved! Determining the focus of your appeal is just one part of the work to be done. You must build your case, as is explained in the following sections.



### CROSSING THE CREEK

You may think of crossing over to persuasion as crossing the **creek**, because the acronym may help you remember the tools you need. The *C* is for common ground. The *R* is for reinforcement. The *E* is emotional connection with the one you seek to persuade. The second “*E*” is for empathy. And, finally, the most persuasive key is keeping your credibility (*K*), which derives in part from your *ACES* but primarily from your personal integrity.<sup>4</sup> Credibility and common ground are essential. That is, the other party must see the benefit to them and must believe you. Empathy assists in finding common ground. The more reinforcement and emotional connection you can use, the more likely you will succeed in persuading. Each tool is addressed in the sub-sections below.

#### COMMON GROUND (C)

In an earlier chapter, we discussed identifying your interests and goals as well as trying your best to identify the interests and goals of the other party. If you want to accomplish your goals, that is, persuade the other to do as you desire, you must find mutuality. This

<sup>4</sup> Conger (1998) is acknowledged as advising establishing credibility, framing goals for common ground, reinforcing your position with logic, and connecting emotionally.

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is finding common ground. This is also consistent with maintaining an open mind and using a collaborative approach.

You find common ground where both parties want the same outcome. You also find common ground by looking for things you can do for or provide to the other. Structuring arguments consistent with the other's frame of reference or perspective is also part of finding common ground. Doing so creates a greater likelihood that your argument will fall into the other's latitude of acceptance. It will also tend to minimize cognitive dissonance for the other, thereby increasing the likelihood of persuasion.

We can assume that there is some conflict inherent in asking for a raise. We can use that simple scenario to illustrate finding common ground. Note that as the complexity of a matter for negotiation increases, so does the potential area for common ground increase. In our scenario, you must ask yourself if your boss and the organization likely want you to remain with the organization. In assessing the views of others, remember to check your fears and perceptions. If you believe your continued employment is not strongly desired, you may have difficulty finding common ground! Alternatively, if your boss believes your intention is not to stay with the organization in the long run, there will be little, if any, common ground. In such cases, you will have to persuade a change of opinion prior to thinking about asking for a raise.

If, as is often the case, both parties very much desire continued employment, you have strong common ground. Along with that common desire is likely to be a desire by each that the other be happy and satisfied. There may be additional common ground. Is there a project or deadline approaching that both parties desire to complete or meet? Perhaps your boss desires a promotion and the best chance of her success is for you to move into her position.

### REINFORCE WITH SUPPORTING FACTS AND DATA (R)

Reinforcing is to support your positions with those things that lead to your conclusions. You may use logic and reasoning; however, those processes are prevalent in your attempts to find validity as you go for *ACES*. Here, the focus is on what may be viewed as hard data—or external evidence—to support validity.

In our raise request example, your request may be supported with market salary survey data. Perhaps you can reinforce your request with evidence that you have taken on additional responsibilities or have completed additional education or certifications

**“Men are apt to mistake the strength of their feeling for the strength of their argument.”**

*William Ewart Gladstone*

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relevant to your job. Perhaps you can tie your request to a performance bonus system by demonstrating your contribution to the organization's financial success.

Just because you see the logic in your position or feel passionately about what you propose, it does not follow that the other person will simply agree! Your chances of persuasion increase with every ounce of support you offer. People infer causes for the statements and behaviors of others. In negotiation, the other person will presume that you have a personal interest in the outcome of what you propose. In fact, it is common to be suspicious of others' self-interests.

To demonstrate, assume that instead of asking for a raise you are proposing a new line of business. The fundamental attributional error would suggest that your boss may tend to think your interest is solely for personal benefit. Reinforcing your proposal with external data will tend to diminish that perception.

Providing support will help to counteract the fundamental attributional error and unconscious biases and prejudices. Providing external support will increase the likelihood of acceptance. If your arguments are perceived as highly consistent and in consensus with what others in similar circumstances would argue, they are likely to be attributed to external reality.<sup>5</sup> People attach a high level of validity to such messages. It is important, again, to remember potential cultural and personality differences. Some people prefer general and conceptual reinforcement while others prefer detail, for example.

### EMOTIONAL CONNECTION (E)

As the one doing the persuasion, you should be enthusiastic and involved; and you will likely have no problem doing so. What helps to persuade is to make a connection to the emotions of the *other*! Resist the automatic tendency to think that the other person is just like you. Filtering techniques described elsewhere in this book will help you connect with the other party.

It is harder to make this emotional connection with those about whom you know little. As is noted in the chapter on preparation for negotiation, you should seek information about the person you hope to persuade as well as seeking information about the substantive

**“When Bishop Berkeley said, ‘there was no matter,’ and proved it—twas no matter what he said.”**

*George Gordon Byron,  
Don Juan*

<sup>5</sup>High consistency and high consensus together tend toward attribution for the cause of the statement to be made to external reality.

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issues and problems to be addressed. In cases in which you know little about the person and are unable to connect with his or her particular emotions, you will have to focus greater attention on finding *ACES*.

In our raise request example, perhaps you and your boss have followed the same career path and you are perceived as following in his or her footsteps. Perhaps the two of you share common visions of future developments for the organization.

Referent power and identification power, discussed in another chapter, are two sources for emotional connection. There are usually other sources of emotional connection. Most people have pet peeves, pet causes, and soft spots in their belief systems. Whether it is love for a special dog or child, or love for orderliness, or something else, tap into it!

### **EMPATHY (E)**

You have, hopefully, learned much about empathy in understanding individual differences discussed throughout this book. Being empathetic is to acknowledge and respect those differences. It is also to acknowledge and respect the other person's values, needs, goals, and positions with the same deference you give to your own. Trying to put yourself into the other person's shoes will create empathy. When you are able to place yourself in others' shoes and recognize what they hold important, you stand a greater chance of recognizing how your proposal relates to their prior attitudes. Working on being empathetic also often opens one's eyes to common ground that would otherwise be missed.

Personality differences may affect the ability to empathize. Those with an intuitive preference may find empathizing easier than do sensors. The difference is due to the conceptual framework used by intuitives versus the concrete and experiential perspective relied on by sensors. Empathy enhances credibility—the last and biggest part of the *CREEK*.

### **AND THE KEY: KEEPING YOUR CREDIBILITY (K)**

It will always come down to *you*! You are the deciding factor in the persuasion effort. It is you who is presenting the reasoning and support. It is you who is tapping into the emotions of the other. Since the common human error is to make attributions to the person, you

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want to be viewed in the best possible light. If you are not trusted or believed, you will not persuade. Since your self-interest in what you propose is presumed, your credibility is key to believing your common ground and reinforcement.

Your credibility comes from your expertise, your knowledge of the problem and related issues, your composure, your approach, the confidence you portray, and your reputation. The first two sources derive from your preparation, which is addressed in a separate chapter. The rest is you as a person, including your ethics.

Persuasion is not manipulation or coercion. It is presenting arguments and support and then letting the other decide. That having been said, it is possible to use persuasion techniques to manipulate. However, manipulation involves the added tactics of withholding information, misrepresenting, deception, or lying. Such conduct not only is unethical but may be actionable as fraudulent. Negotiated agreements entered into through manipulation or fraud usually end up in another dispute. Most assuredly, you will never successfully persuade a person again after having tricked him or her previously. In our raise request example, if your organization receives a job reference inquiry about you at the same time you are arguing your intention to stay with the organization long term, your credibility is gone!

Credibility is, of course, related to trust. There are varying types and degrees of trust. Trust based on deterrence, knowledge, and identification is relevant to persuasive communication in negotiation.<sup>6</sup>

When deterrence-based trust is used to gain acceptance of your argument or agreement with your proposal, the acceptance or agreement is motivated by fear of consequences. The use of coercive power is an example of using deterrence-based trust. Acceptance gained in this manner is usually temporary and often evokes retaliation.

Knowledge-based trust and identification-based trust may be used to enhance your credibility. Knowledge-based trust is not expertise power that was described in an earlier chapter. Knowledge-based trust may stem from one's reputation for integrity. It should be noted, however, that it is not limited to honesty and integrity. It is, rather, confidence in what the other person will and will not do. It comes from familiarity and prior experience with the person. The concept also helps to explain why credibility is so hard to recover once lost. We build a knowledge base about others.

**“A liar is not  
believed even  
though he tell [sic]  
the truth.”**

*Marcus Tullius Cicero*

<sup>6</sup> These concepts of trust are drawn from Shapiro, Sheppard, and Cheraskin (1992) and Lewicki and Bunker (1996).

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Identification-based trust is the strongest and stems from understanding, respect, empathy, and a connection between the parties.

In negotiation, trust runs in both directions. As stated in previous chapters, similarities in personality characteristics and perception generally make communication more effective. Interestingly, individuals who are untrustworthy typically trust no one!

**“The liar’s punishment is not in the least that he is not believed, but that he cannot believe anyone else.”**

*George Bernard Shaw*

**“Use soft words in hard arguments.”**

*H. G. Bohn 1855*

Some people do use manipulation and deceptive tactics in negotiation. While you maintain your credibility, you may also test the credibility of others. When you are the one being persuaded, you may regularly ask yourself whether the other person is the only one gaining something. If so, there is a good chance that you are being manipulated. You should also verify the accuracy of evidence provided to you; and do not ignore your feelings about the interaction. If something does not feel right, at least postpone to undertake additional preparation.

Pushing will damage your credibility. Be assertive rather than aggressive, as discussed in the previous chapter. Allow the other person time to evaluate and decide. Being defensive will damage your credibility. It is worth repeating here that people like to make their own decisions. Your empathy, confidence, and composure will assist you in perfecting a diplomatic approach.

### WHEN PERSUASION IS UNLIKELY

As already stated, arguments that fall within the other’s latitude of rejection are likely to be rejected. There are certain cues to indicate that such is the state of affairs. If the other person repeats our argument inaccurately or with a different meaning, the person may be engaging in selective perception caused by cognitive dissonance. Such a frame of mind may also be indicated by persistent retorts that what you are arguing is not true.

You may attempt to reframe your arguments using the steps described in this chapter. You may also seek different or additional common ground. You may ask why the person is not convinced. If you are able to determine particular prior opinions or beliefs held by the person that are incompatible with your argument, you may find the source of the person’s cognitive dissonance. If so, you may be able to focus persuasive argument toward those matters or the relative importance of issues that appear inconsistent.

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If all of these attempts fail, it is likely that the other person cannot and will not be convinced. You should consider a postponement to prepare a different resolution. You should check *your* perceptions and *your* emotional hot spots in reevaluating your arguments and alternatives. Perhaps you are experiencing selective perception. Perhaps the other's counterargument falls within *your* latitude of rejection.

When you have done all that you can to communicate clearly and effectively, you have utilized *ACES* and principles for crossing the *CREEK* to no avail, and you have exhausted all creative alternatives to argue, you may want to terminate negotiation and select a nonnegotiated alternative. Doing so should be considered success!

### DIPLOMACY

The art or skill of diplomacy will aid the reception of all that you say. What you say in negotiation is no exception to that rule.

"Diplomacy . . . the act of restraining power." *Henry A. Kissinger*

"Iron hand in a velvet glove." *Charles V*

"A diplomat is a person who can tell you to go to hell in such a way that you actually look forward to the trip." *Caskie Stinnett*

The quotations in the box above fully define diplomacy. You may try a few simple scenarios to practice diplomacy.

#### Scenario 1

Assume that someone who reports to you has done something wrong that you, in fact, consider rather stupid. How may you restrain your power and, therefore, be diplomatic?

#### Scenario 2

How may you diplomatically tell someone that there is spinach between the person's front teeth?

#### Scenario 3

When your hair stylist asks how you like your hair and you feel that you would like to place a bag over your head, how may you respond diplomatically?

## ROLE-PLAYING EXERCISES AND PROBLEMS

Exercises 1 through 6 should help you practice applying principles of persuasion. In each scenario, find your *ACES* and cross the *CREEK*.

### Exercise 1

#### Survivor

This exercise is most fun when played with a group of seven or more people so that all roles are filled. If you are imaginative, however, you may try it with only two people. One person may play the role of persuader. The other, of course, is the recipient of the persuasive argument—the captain in our scenario.

If this exercise is used in a group, appoint a leader to play the captain. Divide the remaining people into small teams of three to six members.

You have been shipwrecked on a deserted island. There is enough food to last for a couple of weeks. The water source is sanitary. There seems to be a volcano on the island. It is not currently erupting. There is one raft available. The captain can take only one team. Each team is to try to persuade the captain to take them. The captain will decide which team is taken to civilization and safety.

### Exercise 2

#### Billy Goats

It will be fun to modify the children's story about Billy Goats Gruff to practice persuasion. There is a mean troll who lives at the base of the bridge over the creek. She enjoys eating billy goats. You may recall from the story that the troll was tricked into not eating two little billy goats only to be later beaten by the big brother billy goat. The troll has decided that she will never go hungry again!

This exercise can be played either one on one or in teams. When played in teams, the teams should develop their persuasive argument together and send a representative to talk with the troll.

You are to persuade the troll to let you cross the creek. You should prepare backup arguments and responses. The troll is expected to argue back.

### Exercise 3

#### Rearrange the Furniture

You moved into your house two years ago. Time was very short when you arrived. The furniture has been exactly where the movers

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placed it ever since moving day. You are not particularly happy with the layout. You cannot move the large pieces by yourself. It is a sunny day, approximately seventy degrees outside, and you and your spouse both have the day off work. Persuade your spouse to help you rearrange the family room.

### Exercise 4

#### Buy the House

You have been renting a lovely house for ten months. You love it. You love the neighborhood and the schools, restaurants, and shopping. When you signed the lease, you inquired about the possibility of buying. The landlord was firm in wanting to keep this house in the long term. You recently noticed that one of his other houses in the neighborhood just went up for sale. Persuade the landlord to allow you to purchase the house you are renting.

### Exercise 5

#### Out Spot, Out

You find a sweater while shopping. It is exactly the sweater you have been wanting for years—just like one you previously had that was lost in your last move. It is the perfect color and size for you. It has a small spot and a very slight snag. You are pretty sure that the spot will come out, although you would not guarantee it to anyone. You also think that your sister can hide the snag. It also has a very expensive price tag on it. Persuade the store personnel to reduce the sweater by 15 percent or the best you can do.

### Exercise 6

#### Your Turn

Now think of something you recently tried to persuade someone to do but failed. Prepare a new persuasive argument that you believe would have worked.

### Performance Checklist

- ✓ Argument alone is unlikely to persuade. In persuading others, it is necessary to lead them with information demonstrating that the result is beneficial for all parties. At times, persuasion is not possible. People like to make their own decisions. People search for validity when perceiving information and are unable to evaluate persuasive arguments independent of their prior beliefs. Furthermore, all of the complexities of perception are involved in assessing persuasive arguments.

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- ✓ The keys to persuasion are to focus appeals on *ACES* (appropriateness, consistency, effectiveness, and special things) to cross the *CREEK* to persuasion with common ground, reinforcement using external data, emotional connection, empathy, and credibility. The most valuable key is credibility, which is related to trust.
- ✓ Each individual has a latitude of acceptance and a latitude of rejection. If the argument is too inconsistent with prior beliefs, the argument will be rejected. If the argument is not incompatible with prior beliefs, it may be accepted. The greatest likelihood of acceptance will attach to arguments regarding matters on which the person holds no prior opinion. Consideration of arguments incompatible with prior beliefs causes cognitive dissonance and may trigger selective processing along with efforts to refute the argument. Selective processing includes the false consensus bias, disconfirmation bias, and negativity bias.
- ✓ Diplomacy facilitates effective negotiation.
- ✓ Becoming more persuasive in negotiation requires practice.

### Key Terms, Phrases, and Concepts

Attitude

Social Judgment Theory

Latitudes of Commitment, Noncommitment, Acceptance, and Rejection

Disconfirmation Bias

Cognitive Dissonance

Negativity Bias

*ACES*

*CREEK*

### Review Questions

Mark each of questions 1 through 4 as True (T) or False (F) and answer questions 5 through 10.

- T F 1. Social judgment theory holds that people search for valid or correct attitudes.

## Principles of Persuasion

- T F 2. Sometimes attempts to persuade are futile or doomed to failure.
- T F 3. Appropriateness, consistency, and effectiveness are the best ways to ground one's arguments.
- T F 4. Credibility is the single most important ingredient to persuasion.
5. Explain the latitude of indifference.
  6. Explain how cognitive dissonance affects persuasive message processing.
  7. Explain the difference between a belief and an attitude.
  8. Why is it true that sometimes the most skilled negotiator will not succeed in persuasion?
  9. Why do soft words make a hard argument more susceptible to acceptance?
  10. Identify the steps in crossing the *CREEK* to persuasion.

### Case 1

Your investment firm stands to gain a substantial amount of business if the country's tax laws are amended to promote self-directed retirement savings in the private sector. You must make three persuasive presentations. One presentation will be made to a group of individuals who are all between the ages of forty and fifty-five. Another will be to a group of individuals who are all under thirty years of age. The final one is to lawmakers. In each case, you seek to convince the group to agree to endorse your proposed change.

### Case Discussion Questions

1. How will you assess the prior attitudes of each group? What effects will prior attitudes have on their perceptions of your argument? What may you learn about each group's attitude here by applying the theory of attribution?
2. How different are the *ACE* arguments that you would use for each group? How many *ACES* can you find for each group?
3. Can you use knowledge-based trust to enhance your credibility here? What information do you need and how will you use this trust?

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# Rules of Negotiation and Common Mistakes

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# Rules of Negotiation and Common Mistakes

**“The successful  
man will profit  
from his mistake  
and try again in  
a different way.”**

*Dale Carnegie*

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn guiding principles for conducting negotiations
- To learn the most common mistakes made in negotiation
- To recognize the framework for negotiation strategies

## Rules of Negotiation and Common Mistakes

In books on negotiation, emphasis is often placed on rules with a view that there is a script for or a single right way to conduct a successful negotiation. Nothing could be more misleading. However, there are, indeed, guiding principles that should overlay your personal strategies. In this chapter, we present general principles or rules that should be observed in all negotiations. We also describe mistakes commonly made. With awareness of such mistakes, you will be better prepared to avoid them.

### RULES

#### **Rule 1: Do not think of negotiation as a game.**

Some view negotiation as a game. Although game theory is useful in understanding how to develop successful strategies, the process itself is not a game in a sense of being an amusement or a competition. To be sure, many individuals engage in games during the negotiation process. To enter into the process in a purely competitive game spirit is to adopt a win-lose approach. Games are played by prescribed rules and usually include referees and judges. Such is not the atmosphere of negotiation and influence. When you use a win-lose approach in negotiation, you risk losing all. Even if you walk away from the table thinking you have won, you will likely lose in the long run. If your counterpart cannot comply with the agreement, the promises will not be performed and the anticipated result will not come to fruition. Experts in negotiation do not enter into it as a game. Experts are adept in the art of human interaction, compromise, and accommodation.

#### **Rule 2: Be prepared.**

Preparing for the process includes multiple factors, such as gathering and analyzing information, and selecting and developing a strategy specific to a particular negotiation to be undertaken.

#### **Rule 3: Know relevant aspects of your own personality and behavioral tendencies as well as your needs, goals, and power.**

#### **Rule 4: Perceive and assess relevant aspects of your counterpart's personality, needs, power, and behavior.**

#### **KEY POINT**

Games have losers.

## Rules of Negotiation and Common Mistakes

**Rule 5: Practice the rules of effective listening, speaking, filtering, and watching.**

**Rule 6: Never lose control of yourself.**

**Rule 7: Always look for common ground and common goals.**

**Rule 8: Know when to continue and know when to walk away.**

Thorough preparation should prepare you to follow this rule. To borrow a few words of sound advice from Kenny Rogers, “**Know when to hold 'em, and know when to fold 'em.**” Be aware, however, that this rule is not intended to imply that negotiation is gambling. However, there is a chance at times that your goals will not be attainable through negotiation. Sometimes an issue or an entire deal is dead. Sometimes you cannot change the other person’s perception. Sometimes your nonnegotiated options are your best options. Continuation out of sheer stubbornness or because so much time has already been expended will be fruitless or harmful. Such stubbornness can result in your agreeing to something not beneficial to you. No deal is better than a bad deal. There are always alternatives to a negotiated agreement.

Even worse is the situation in which you get what you want or the best possible resolution but fail either to recognize it or accept it! If you have adequately prepared for the process, you will have appropriately established your goals. Many individuals tend to think that if their offer is accepted, it must have been too pessimistic. Succeeding in attaining your goal is not a good reason to discard it!

If, on the other hand, you learn at the table that your preassessments were incorrect or incomplete to an extent that would cause you to substantially revise your target, then stop or postpone. In such event, you are not prepared. Allow yourself time to properly analyze and prepare. Do not fall into the trap of thinking your target was wrong just because you succeed in getting it accepted! You should have reasons (other than success)

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**KEY POINT**

Sometimes quitting is a success.

## Rules of Negotiation and Common Mistakes

for discarding a preestablished target. If you have no sound reasons for rejecting your preestablished goal, the time to evaluate it is in reviewing your performance afterward. If you did set your goal too low, you will have learned something for the next negotiation. It is possible that you succeeded in establishing a mutually satisfactory target in view of all of the components. Again, to quote Kenny Rogers, "There'll be time enough for countin' when the dealin's done."

### **Rule 9: Maintain your personal integrity, and trust yourself.**

You must decide when withholding the truth or exaggerating (puffing) is acceptable as honest or is dishonest. Remember that you must inspire trust and build and maintain credibility but not trust the other side too much!

If the other party's trust of you is damaged during negotiation, seek to repair it immediately. Accept responsibility for feelings and repercussions you have created. Acknowledge the other party's perspective and feelings. Apologize for your errors. Use persuasion techniques.

### **Rule 10: Never negotiate with someone who has no authority to commit.**

Doing so will place you in a no-win situation. The violation of this rule is one of the reasons that buying an automobile is so difficult. Typically, the potential car buyer is not allowed to negotiate with the manager who has the authority to sign the deal.

### **Rule 11: Confirm the status of the negotiation.**

At the end of each negotiation session, seek consensus on what was accomplished and what is in agreement. Also confirm what is still to be negotiated.

### **Rule 12: Put it in writing as soon as possible.**

Some people are capable of letting you think you have a deal until there is adequate time pressure on you to come to their terms. Even a confirmation letter is a good idea. You should always try to be the one who prepares the writing, and you should honestly endeavor to address the entirety of the agreement. Sometimes the person preparing the writing intentionally leaves out a detail that is unsavory to him or her. In those situations, of course, you must renegotiate in a sense to incorporate the full and correct understanding into the written agreement.

## COMMON MISTAKES

The most common mistakes made in negotiation are failing to observe the basic rules we have presented. Set out in Box 1 are specific errors frequently made in the process.

### Box 1 Negotiation Mistakes

- It is a mistake to assume what the other side wants. It is common to assume the parties' respective goals are incompatible. The other party almost always has needs and assigns values different from yours.
- It is a mistake to overestimate your weaknesses and/or to underestimate the weaknesses of your counterpart.
- It is a mistake to hold to a fixed plan in the face of new or additional information.
- It is a mistake to set your goal too optimistically or too pessimistically. The most common mistake in this regard is aiming too pessimistically.
- It is a mistake to set goals or take positions without reasoning and support that can be (and are) communicated to the other side. The inability to defend or support your position will lead to disbelief; rejection; and, possibly, conflict. If you are unable to support your position, your position may not be realistic or reasonable.
- It is a mistake to make a counterproposal to an unreasonable or unsupported offer from the other side. You will be negotiating against yourself! The better course of action is to insist that the other side explain, support, or amend its offer. Remember, too, to consider the personality of your counterpart. The unsupported offer or position may be conceptualizing out loud.
- It is a mistake to let the other side know that you are under a time deadline. There will be times, however, when the other side is aware of your time pressure. In those situations, you must recognize that your position is weakened and control your impulse to feel compelled. Remember that you have alternatives. Whenever possible, do not negotiate when you are up against a time deadline. Guard your natural personality characteristics of creating time pressure on yourself!

**Box 1:** *continued*

- It is a mistake to *jump* at the first offer from the other side. This is not to say that you should not accept the offer—if it is right. However, if you jump at it, you may rob the other party of face. Your counterpart may be unhappy and may try to change the deal or not comply later. The best course of action is to hide your enthusiasm; take your time to evaluate it; accept it tentatively; and bring up some smaller, remaining issues to allow the other side the opportunity to get something in return. Such face-saving for your counterpart will ensure success on both sides.
- It is a mistake to focus on what the other party gets. The other party's gain is not your loss! Focus on your goals. What the other party gets is what gets you what you desire.
- It is a mistake to respond to something for which you are not prepared. Your alternatives are to defer the issue or suspend negotiations while you go prepare.
- Not saying no in an acceptable manner is the final common mistake. You should not be critical or offensive, and you should not shift blame. Be firm, but give explanations for your rejections. Be assertive and persuasive.

## FREQUENTLY ASKED QUESTIONS

How honest should I be? Should I disclose my bottom line? Lying about your spread will serve to make things more difficult. It leaves less room for finding common ground. The strategic disclosure of information is not necessarily dishonest. Exactly how the second question should be answered depends upon the personality and style of both parties.

If your counterpart is not candid or is competitive, restraint in early disclosures of what you are willing to do may be appropriate. Furthermore, it is likely that you should be negotiating the process to be used in such instances. Typically, however, if you are adequately prepared, there will be no harm in honest, open, and assertive negotiation. There is no reason to fear the truth in such situations. Remember that you have alternatives.

### Performance Checklist

- ✓ There are twelve simple guiding principles that will assist negotiators. The essence of those principles may be stated as to know yourself, to prepare thoroughly, to communicate assertively and persuasively, to feel no loss for what the other side gains, to know when to quit, to confirm the outcome, to be honest, and to trust yourself.
- ✓ Common mistakes made in negotiation generally relate to some manner of violating those guiding principles or in failing to allow the other side to save face.
- ✓ Awareness of guiding principles and common mistakes should provide a framework for developing negotiation strategies.

### Key Terms, Phrases, and Concepts

“Know when to hold ‘em, and know when to fold ‘em.”

### Review Questions

Mark each of questions 1 through 3 as True (T) or False (F) and answer questions 4 through 10.

- T F 1. Negotiation is a game.
- T F 2. The hardest part of negotiation may be preparation.
- T F 3. Being a good listener is not very important to negotiation.
- 4. Why is preparation so important to your ability to walk away at the right time?
- 5. If your trust were to be damaged during negotiation, what would you do?
- 6. Why is it a mistake to assume what your counterpart wants?
- 7. Is there any way to overcome time pressure?
- 8. What should you do if your counterpart does not support his or her position?
- 9. How will you train yourself to not focus on what the other party gets?
- 10. Why is it important not to be overly enthusiastic in jumping at the first offer?

### **Case 1**

Clint is Marilyn's supervisor. Marilyn is a dedicated part-time employee who is known for taking on responsibility. Clint joked with his colleague that he could trick Marilyn into completing a project for him so that he could take a long weekend. Clint told Marilyn that only she had the skills and conscientiousness to complete the project properly and on target and, further, that it would be a big favor to him if she would accept the challenge. Marilyn agreed to do the project; however, when she could not reach Clint over the weekend to obtain additional explanation that was critical to completing the project, she left it incomplete. Clint placed full responsibility for the failure squarely on Marilyn who now feels that her stellar record has a big blemish. Marilyn is lamenting all this after giving up her entire weekend with no extra pay, to boot.

### **Case Discussion Questions**

1. Which rules of negotiation did Clint break?
2. Which rules of negotiation did Marilyn break?
3. Can Marilyn still recover from her mistakes here? If so, how?

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# The Negotiation Process and Preparation

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# The Negotiation Process and Preparation

**“Whatever happens  
never happens by  
itself.”**

*Sally Rand*

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn key terms used in negotiation
- To understand strategic behavior in negotiation
- To identify the stages of negotiation
- To learn the preparation stage of negotiation

## The Negotiation Process and Preparation

There are certain terms commonly used by negotiators. It is helpful to recognize such terms and understand their typical meanings. It is also helpful to view the negotiation process as evolving in phases, or stages. Furthermore, it is necessary to understand that negotiation is strategic. In this chapter, we review key terms as well as the principal stages of the negotiation process. We discuss strategic behavior. Primary attention is devoted in this chapter to learning the preparation stage of negotiation. As is explained here, there are significant preparatory steps necessary to effective negotiation in addition, or supplementary, to those steps already mentioned concerning knowing and understanding self and others.

### NEGOTIATING TERMINOLOGY

One's **approach to negotiation** and to conflict refers to one's view, or attitude, toward them. Approach may be discussed as positive, neutral, or negative. **Style** was previously introduced as one's approach to a particular interaction. Those terms are noted briefly in the following paragraphs, along with the remaining key terms used in negotiation—strategy, counterpart, gambits, and technique.

### STRATEGY

Your **strategy** is your overall plan. Your strategy goes beyond whether you plan to manage or resolve the conflict as described in another chapter. It is your plan for when, how, and in what order you may use particular techniques and tactics. Your strategy includes the plan for where you begin and where you end. Your strategy will be influenced by the particular type of issue or transaction to be negotiated. Your strategy will also be influenced by your attitude, personal style, and temperament; your values, beliefs, interests, goals, and powers; and your knowledge of the other side's style, temperament, interests, goals, and powers.

It is useful to borrow from game theory to understand negotiation strategy. **Strategic behavior** arises when two or more individuals interact and each individual's decision turns on what that individual expects the other(s) to do. Action that will effect the best

#### KEY CONCEPT

Strategic behavior seeks the best mutual result.

## The Negotiation Process and Preparation

mutual result is expected rationally. Self-interest is at the center of such behavior.

Self-interest, however, is not synonymous with competition. Furthermore, what an observer may perceive as objective, rational, or logical behavior may not coincide with the actor's evaluation of the situation and alternatives. Care must be taken to analyze behavior in context and to consider the complex, dynamic interrelationships.

An adaptation from the classic prisoners' dilemma illustrates strategic behavior and game theory in negotiation. The prisoners' dilemma has long been used as a recommended negotiation skill-building exercise. It is reconstructed in part in Exercise 1.<sup>1</sup>

### Exercise 1

Two cohorts in crime are apprehended by the police. Each has two issues to face. Each has undoubtedly violated the terms of his parole agreement. Each will return to jail for two years for that violation. Both have been accused of and arrested for a burglary. The police do not have a good case on the burglary; they have no hard evidence required for a conviction. The police, of course, do not share that information with the prisoners. The police separate the cohorts, assuring that there is no communication whatsoever between them. The police offer each the same deal.

The deal offered by the police contains three parts:

1. If one confesses to the burglary and the other does not, the one who confesses will go free.
2. If only one confesses, the police will press for a ten-year prison sentence for the one who does not confess.
3. The police will request a reduced sentence, probably six years, if both prisoners confess to the burglary.

Assume that you are one of the prisoners. What do you do? You have a dilemma of whether to cooperate or compete. You also have a dilemma of anticipating what your partner will do. The potential outcomes are as follows:

- If you both keep quiet, you will both get only two years in prison for the parole violation.
  - If you confess but your partner keeps quiet, you will go free.
- Thus, if you think that your partner will keep quiet, it is best for you to confess. But what if he has figured things the same way?

<sup>1</sup> This story was first told by economist A. W. Tucker in 1950 and is now believed to be in the general domain of knowledge.

## The Negotiation Process and Preparation

- If you keep quiet and your partner confesses, you will get ten years in prison.
- If you both confess, you will both get approximately six years in prison.

Try to determine the optimum, cooperative solution that *best* satisfies the needs or wants of *both* parties. If both parties keep quiet, both parties are spared the worst harm. Each obtains the second-best individual solution and the best possible mutual solution. If one of them were to go for the best individual possibility, he would risk losing everything. Neither prisoner can extricate himself from his partner. These prisoners, as is the case with negotiation counterparts, have a mutual problem. As will be explained in another section, if you do not have mutuality, it is likely that you should not be negotiating!

### STYLE

Your style, again, is your approach to the interaction. Negotiating styles include avoidance, adversarial/competitive, compromising, and cooperative/collaborative. If the prisoners in Exercise 1 each take a competitive approach, they each will lose their best opportunity. If, on the other hand, each prisoner uses a collaborative style, each will obtain the best mutual solution possible under the circumstances.

### COUNTERPARTS

It is not uncommon for people to use the term *opponent* in speaking of negotiation. However, consistent with the concept of mutuality and game theory, it is helpful to think in terms of **counterparts** rather than opponents. The term **counterpart** will be used consistently in this material.

### TACTICS

**Tactics** are maneuvers, the actions you take and the moves you make. Names commonly used to describe tactics used in negotiation include questions, forbearance, postponement, surprise, withdrawal, threats, anger, reversal, bracketing, flinching, deception, diversion, reluctance, feinting, ultimatums, association, equalizing,

## The Negotiation Process and Preparation

begging, bullying, laughing, extrapolation, exaggeration, extreme positions, patience, blocking, emotional appeal, counteroffers, concessions, squeezing, and silence.

### GAMBITS

The term **gambit** is borrowed from the game of chess and is commonly used in negotiation parlance. Sometimes the term is used to refer to any maneuver designed for gaining advantage. In this book, the term is used to refer to the opening move or tactic in each major phase of the negotiation process.

### TECHNIQUE

The term **technique** merely refers to the manner in which you use alternative and/or multiple tactics and gambits.

## STAGES OF THE NEGOTIATION PROCESS



It is useful to examine the negotiation process in five phases or stages. They are the preparation stage, the introductory stage, the initiation stage, the intensification stage, and the closing stage. As will become more evident in later chapters and in the practice problems, interaction will vacillate among stages three, four, and five during actual negotiations, as multiple issues are addressed. The remainder of this chapter is devoted to the **preparation stage**.

## THE PREPARATION STAGE

**“What I need is a list of specific unknown problems we will encounter.”**

*Lykes Lines Shipping*

Preparation is probably the toughest part of the negotiation process. After diagnosing and analyzing the nature of the conflict or challenge, it is necessary to begin specific preparations toward executing your overall conflict strategy. Preparation requires research, careful thought and analysis, and creativity.

## The Negotiation Process and Preparation

It occurs prior to the commencement of the parties' designated negotiation meeting. It is possible to identify checklists of steps to follow during the preparation stage. This chapter provides such a list.

It is typical to feel like the other side has more information about you than you have about the other side. It is also typical to feel like the other side has more power and less time pressure. These natural feelings of inadequacy underscore the importance of preparation. The tasks in preparation are set forth in twenty steps:

1. Gather as much detail as possible about the transaction and component and related issues to be negotiated. This step includes brainstorming to identify components of the transaction. For example, in addition to dollar amount, components of the transaction may include payment terms, time, delivery or transportation charges, services and service charges, and warranties. There will be supplemental issues or components of most things that you negotiate. Avoid having tunnel vision.
2. Determine what you want and need. This may sound simple, but you must distinguish between emotional and tangible needs. You must also decide how you will control your emotions. A previous chapter provides guidance for this step.
3. Rank your wants and needs in order of importance and identify which issues are interchangeable and/or related.
4. Assess how your counterpart perceives your needs and wants.
5. Try to determine what your counterpart needs and wants. In this step you should also consider how your counterpart may attain satisfaction. Try to identify your counterpart's alternatives to a negotiated agreement with you. Your analysis should include tangible needs as well as emotional needs such as the need of the other side to feel in control or to boost personal ego—face-saving needs.
6. Determine what you have that your counterpart will or may want, need, or accept, as well as what you may do that your counterpart does *not* want you to do. This step may serve to expand the pie as described in a prior chapter, making integration and collaboration easier. This step may also disclose power you possess that will increase your confidence, particularly in the event that your counterpart becomes competitive. Remember the diplomatic principle of restraining power, however.

## The Negotiation Process and Preparation

7. Determine on what issues there can be or may already be agreement. Determine the extent of disagreement on each issue or component.
8. Assess all types of power that you have. Decide when and how you plan to use your powers.
9. Assess what power you think your counterpart has over you, as well as what power your counterpart thinks he or she has over you. Determine whether each power is real or merely perceived.
10. Assign a value to all components of the matter or matters to be negotiated, and assess whether there is potential for common ground on which you may structure a negotiation.
11. *Determine your options to a negotiated agreement.* This step is critically important! You must do this for several reasons. This step will determine whether or not there is adequate mutuality to negotiate at all. This step will give you the power *not* to accept a detrimental outcome in the negotiation process. This step is also likely to uncover additional alternatives not previously recognized.
12. Determine alternative negotiated solutions that would be acceptable to you.
13. Reevaluate all of your positions identified in steps 2 through 12, and decide whether or not to negotiate.
14. Prepare reasons that can be communicated to your counterpart that will support all of your positions following the principles addressed in other chapters of this book. You must come up with reasons for your counterpart to agree with you.
15. Determine our overall parameters—three key positions on each issue and component. One position will be the best proposal for which you can provide reasonable support. This position is also likely to be your opening position. The second position to determine is that which represents the best you can reasonably expect to walk away with. This is your realistic target. The third position is the worst you would accept—your walk-away position. This third position is one that you have determined to be worse than one or more of your nonnegotiated alternatives.
16. Anticipate your counterpart's arguments to all of your proposals. Try to anticipate what his or her parameters are likely to be. Try to determine your counterpart's options to a negotiated agreement.
17. Prepare alternative approaches aimed at the potential style to be used by your counterpart observing the principles discussed elsewhere in this book.
18. Prepare an agenda and alternative agendas. These will be your guides to approaching the interaction.

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### KEY POINT

The acronym **OTNA** should remind you that “sometimes you ought not negotiate”!

## The Negotiation Process and Preparation

19. Determine your strategy, including the amounts and timing of your negotiation positions.
20. Prepare to be flexible. This includes being prepared not to use your agenda. This includes being prepared for new information. Expect the unexpected!

An additional word of caution is in order. In following the steps we have outlined, be careful not to become rigid in your thinking. This advice is particularly relevant to individuals who possess the thinking preference in the Jung typology.

No matter how well you prepare, there will be additional information gathered once you begin your face-to-face meetings. You must remain open to new information and new ideas of resolution. You must know your overall goal well enough to be flexible in how you get there. If you stick to your plan in the face of new information and changing circumstances, your counterpart will benefit from your tunnel vision—or negotiations will break off without agreement.

Where and how you gather information will vary depending upon the nature of the transaction as well as the parties involved. You will have to adapt to the particular circumstances. Some potential sources are noted here. In gathering information, ask questions of everyone—secretaries, assistants, and those who have negotiated with this person in the past. Listen. Third parties, such as suppliers, competitors, and customers, can be sources of information. Publicly available financial data are a great source of information.

In certain situations, you will also be required to decide whether to negotiate solo or to have one or more people join you as a team. Teams can present benefits and detriments. Weak team members make you vulnerable to the other side's ability to create conflict or to gain information. An effective team member can be a great source of creative alternatives and communication assistance.

### **PRENEGOTIATION PREPARATION EVALUATION**

As a final step and overall guide to preparing for negotiations, answer the following questions.

- Am I comfortable negotiating in this particular situation?
- Is it possible for negotiation to meet my needs?
- Is the expenditure of my time and energy worth the potential benefit I may gain?

## The Negotiation Process and Preparation

If you cannot answer “yes” to these three questions, you should probably follow an alternative to negotiation or complete additional analysis and preparation.

### Performance Checklist

- ✓ Your negotiation strategy is your overall plan for when, how, and in what order you may use particular techniques and tactics. Your strategy is influenced by your personality characteristics as well as by your interests, goals, and powers. Negotiation strategy may be understood in terms of game theory. Your negotiation style is your approach to the negotiation. Counterpart is an appropriate term for reference to the other party in negotiation. Tactics are particular moves made during negotiation. Gambit is another term for certain tactics. Technique is the manner of using particular tactics.
- ✓ Strategic behavior arises when two or more individuals interact based upon expectations of what the other will do. Actions that will produce the optimum mutual result are logically expected.
- ✓ Negotiation may be understood as evolving in phases—preparation, introduction, initiation, intensification, and closing.
- ✓ Preparation may be pursued in twenty steps that accomplish the following: identifying issues, gathering information, determining goals, assessing social or interpersonal aspects, identifying nonnegotiated alternatives, setting parameters on each issue, formulating persuasive arguments, formulating strategy designed for the particular audience, and remaining flexible. If preparation discloses that it is not possible for negotiation to provide a better outcome than a nonnegotiated alternative or that you are not comfortable with beginning the negotiation, you are not prepared to negotiate.

### Key Terms, Phrases, and Concepts

Approach to Negotiation

Style

Strategy

Strategic Behavior

Counterparts

Tactics

## The Negotiation Process and Preparation

Gambit

Technique

Preparation Stage

OTNA

### Review Questions

Mark each of questions 1 through 5 as True (T) or False (F) and answer questions 6 through 10.

- T F 1. To apply game theory to understand negotiation behavior is to see negotiation as a game.
- T F 2. Self-interest drives strategic behavior.
- T F 3. One's approach to negotiation may be viewed as synonymous with one's view and attitude generally.
- T F 4. One's style is one's approach to a particular negotiation interaction.
- T F 5. There are four major styles of negotiation.
- 6. Explain why identifying and analyzing interest, goals, and power are necessary in the preparation phase of negotiation.
- 7. Consider and discuss why deciding what you want may not be as easy as it sounds.
- 8. Do you think that using the term *counterpart* rather than *opponent* facilitates effective negotiation? If so, how?
- 9. What do you consider to be the most critical step in the preparation process?
- 10. Why is it necessary to determine three position points on each issue to be negotiated?

### Case 1

You are under contract with your current employer for one year at a time. You have been offered a renewal contract that will commence three months from now; however, by the terms of the offer, you must accept it within the next ten days or it will be revoked. You are virtually certain that this will be the last year of work available for this employer, because it is experiencing financial difficulties. You have a great potential position pending with another employer. Although the organization's authorized representative

## The Negotiation Process and Preparation

has indicated that you are the top candidate, no formal offer is likely to materialize for at least thirty days.

### **Case Discussion Questions**

1. What options does each of the parties have?
2. How should those options affect each party's negotiation strategy?
3. Play the role of each party in assessing the other's likely behavior or strategy for the negotiation.



# Alternative Styles, Strategies, and Techniques of Negotiation

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn how to begin negotiations
- To learn specific tactics used throughout the negotiation process
- To recognize special issues in representative negotiating
- To understand the impact of deception and ethics in negotiation

**“Thinking well is  
wise; planning  
well is wiser;  
doing well, wisest  
of all.”**

*Persian proverb*

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## Alternative Styles, Strategies, and Techniques of Negotiation

Certain Psychological and sociological principles should make it understandable that identifiable patterns—actions and reactions—may develop in the course of negotiations. It is useful to discuss these patterns in terms of alternatives. The material in this chapter should provide insight into use of various alternatives identified.

Alternative tactics are grouped here by the stage of the negotiation process to which they are most often used and are referred to by names commonly used in negotiation parlance. Keep in mind, however, that various issues may be in different stages during the process. In addition, some issues thought to be resolved can resurface and require a second and different resolution. It is not over until it is over! You should not expect negotiations to proceed in a clear-cut, sequential manner.

There are no rules regarding when each tactic may be used. Feel free to use them in ways that suit your style and strategies. It should become evident here that some tactics are clearly identifiable with particular styles of negotiation and temperaments. Other tactics are adaptable to alternative styles. Your personal technique and strategy should be developed with an understanding of the tactics explained in this chapter. In studying these tactics, try to understand when you may be reacting or responding emotionally rather than responding to the substance of the negotiation.

### THE STAGES OF NEGOTIATION

It is helpful to look at the process in five stages or phases—preparation, introduction, initiation, intensification, and closing. In this chapter, we address the remaining four phases. Note again, however, that you should not expect the process to proceed in five distinct stages. The stages overlap. The more complex the matter being negotiated, the more complex will be the process as well.

## THE INTRODUCTORY STAGE

It may be helpful to think of the **introductory stage** of negotiation in steps:

1. Prepare.
2. Define the rules, and set the tone.
3. Focus on the issues.
4. Begin to persuade with appropriate tactics delivered in a style and technique that suit your strategy and personality.

An early step in the interaction is to set the **tone of the negotiation**. By tone, we refer to a competitive versus cooperative atmosphere that sets a tone for the process. There will, of course, be an initial exchange of identification information—names, positions and/or professions, company or firm names and business, and so forth. In this introductory stage, you want to make *personal* contact and establish trust while you set the tone. You should convey a warm and cooperative attitude and treat the other person with dignity and respect.

At this early point, there may be attempts to establish legitimacy, expertise, popularity, and identification powers. Educational background, name-dropping, and professional and negotiation experience are the types of information shared in an effort to establish these powers.

Demeanor and body language, as well as verbal statements, are cues to a person's attitude toward the negotiation. If both parties are attempting to set the same tone, things will begin to progress. Remember, however, that in a competitive negotiation, one or both parties may lose everything. If one party adopts a competitive tone while the other seeks a cooperative tone, the first matter to negotiate should be the tone that will prevail.

If you are trying to establish a cooperative tone, personalize the interaction. Use the person's first name unless a title of respect is appropriate, in which case you should wait until the person grants permission for more familiarity. Be warm and friendly. Try to talk about something you may have in common with each other. Talk about innocuous matters such as the furnishings or the city. Begin to speak of the need to find a fair and equitable solution to a mutual problem. If the physical setting is structured to intimidate or accentuate a competitive spirit, get up and walk around. Sit in a different place.

## Alternative Styles, Strategies, and Techniques of Negotiation

Examples of uncomfortable and psychologically unbalanced settings are differences in chair height and lighting. If your chair is noticeably lower than the other party's chair, it is a tip-off to a competitive tone and an attempt to gain an unfair advantage by intimidation. Bright sunlight behind the other party that shines in your eyes is another tip. Using round tables, sitting side by side, or sitting at angles to each other are examples of arrangements conducive to a cooperative atmosphere and tone. Direct face-off positions from opposite sides of a squared table are more competitive arrangements. A cooperative setting requires that all parties perceive accommodations as equal. You should guard against being intimidated by any physical arrangement.

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**HOT TIP!**

Watch for signs of games at this early stage.

If the other person's attitude changes to a more cooperative tone consistent with yours, you can proceed. However, maintain your guard with the knowledge that the other person may continue to internally view the situation as a contest. You may have to control your responses to various intimidating and manipulative tactics explained in succeeding paragraphs that may be used against you. In such instances, you will also have to make a concentrated effort to use tactics designed to emphasize that you have what the other person needs.

It is possible to transform the other person's competitive attitude into one of your powers. That person may believe that he or she is in the weaker position and cannot fairly get what he or she wants. The person's behavior may, alternatively, simply be reflective of personality or habit. Determine whether the other's behavior is caused by situational power. If so, you must deal with the real balance of power. In any event, maintain your personal control and stick to your parameters and goals established during your preparation, unless and until information comes to light that necessitates reconsideration of your strategy. Focus on content.

If the other person's attitude does not change to coincide with yours, you should terminate the negotiation. You may simply refuse to negotiate in the style dictated by the other side. You may terminate negotiations finally, or you may leave the matter open for another date and location on the condition that your requirements regarding tone, approach, and process will be met. This is where your preparation in knowing your alternatives to a negotiated agreement pays off big rewards. Having alternatives will ease your mental anguish about the failure of this meeting.

## INITIATION STAGE TACTICS

### Asking Questions

Questions are and should be used during all stages of the negotiation process. It is helpful to obtain as much information as possible as early as possible. You want to ask what your counterpart wants. You also want to know your counterpart's agenda. If your agenda differs from your counterpart's, you will have to determine whether or not using his or her agenda helps you or hurts you. If your counterpart has established an ordered agenda, you may agree to follow it. As things proceed—and as necessary—you can alter that agenda. In fact, doing so after the process is well under way can sometimes give you an advantage. It may throw the other party off balance in cases in which you begin to suspect a hidden agenda on the other's part. You must also be ready to share information with the other side as the negotiation proceeds. Strategic release of information as explained in previous chapters may be appropriate.

The type of questions used will affect reactive behavior. Safe and manageable questions are broad, open-ended, or leading. Cool questions—asking for specific facts, such as mathematical calculations—are also safe. Asking for help and asking how an idea feels or sounds are also safe questions. All of the foregoing types of questions are techniques that tend to be constructive and to integrate power. Asking direct questions is also manageable, such as asking exactly how much something would cost. Asking narrow questions will not elicit much information.

**Loaded questions** can be viewed as antagonistic and can create conflict. Loaded questions suggest a preconceived point of view on the other side or put the other person on the spot. A question that begins with "Don't you think . . ." is probably a loaded question. Loaded questions may be perceived as power-over techniques, which are defined in a previous chapter. They tend to have destructive effects by creating defensiveness.

Sometimes hypothetical questions are useful. A hypothetical question can be effectively used to propose a mutual solution. "If you do  $x$ , then I will do  $y$ " is an example of a hypothetical question. When you receive a hypothetical question, you should evaluate it just as you would a direct offer.

### **Beginning with Big Issues or Small Issues**

Whether you begin with the largest issue or with the smaller issues will depend upon the particular case and the particular individuals involved. Handling small items that proceed relatively quickly often provides momentum and goodwill, which are helpful when the big issues arrive on the agenda. On the other hand, resolving the biggest issue first may reduce overall anxiety. In most cases, the right choice is the one that facilitates communication and cooperation.

### **Tentative Resolution**

It is advisable to confirm at the outset that the goal is for a complete agreement and that each issue or piece resolved is tentative until the entire matter is addressed. This tactic will reserve to all parties the flexibility to find solutions and trade-offs at the end. It will also protect a party from unscrupulous tactics by the other side. In most cases, the order of the agenda becomes less critical once this rule of **tentative resolution** is openly stated.

### **Making the First Offer**

*Do not* make the first offer unless you cannot avoid it! Allowing your counterpart to open the negotiations usually results in your gaining information. Often, the other side's opening is better than you anticipated. If the other side is determined to follow the same philosophy, of course, there can be no beginning unless one gives in! When there is a standoff, the one who has the greatest need to resolve the matter will usually start, however reluctantly. After a couple of attempts to persuade the other side to go first, you should go ahead and start. Going second is not so important that it is worth disrupting a cooperative negotiating tone.

### **Starting High or Low**

Prior to beginning the interaction, you should have established three positions on each issue. Your beginning or opening position in the negotiation session should be the best possible amount or position that you can reasonably support. *It should not be ridiculous.* If you start at your target—the position you think is the best you can probably obtain—you will have no room to negotiate and still attain your target. If you must err, be on the assertive, more positive side. You will never do better than your opening. The reference to high or low, of

course, relates to your role in the transaction—seller or buyer, payor or payee.

### **Extreme Positions**

The tactic of extreme positions rarely works when used on an experienced negotiator. If your counterpart presents an extreme position or exaggerates his or her position, *do not counter*. It is a competitive tactic designed to force the other side to make a move, and it may be used at any stage of the negotiating process. Do not take the bait! If the offer is outrageous or ridiculous, laughter is an appropriate response. If the other party makes no response, a countertactic is to ask for the basis or support for the party's offer. If your counterparts are seriously interested in negotiating, they will either offer their reasoning or amend their offer.

### **Reluctance**

**Reluctance** is the tactic of appearing hesitant—or less than enthusiastic—to enter into the negotiations. It is designed to make the other side believe there is little need to do what the other side wants. The party using this tactic hopes the other side will take actions or make offers to increase interest and thereby raise the stakes. The truth is that no one will (or should) negotiate unless he or she believes that there is something to gain that cannot be gained through other alternatives, as noted elsewhere in this book. Do not fall into the reluctance trap. It is a rather competitive technique of using reverse psychology or reactance theory (Brehm 1966) discussed in another chapter. Do not take the bait. Conversely, do not appear too anxious either! Take comfort in your prior preparations. You have alternatives.

### **The Squeeze**

Telling the other side that he or she will just have to do better is **the squeeze**. It is designed to intimidate the other side into making another offer. One who falls prey to this tactic will be negotiating against oneself. An effective response is to ask for a counteroffer. Responding to this tactic with a concession is a common mistake.

### **First and Final Offer**

A first and final offer may be utilized successfully only by the party holding the greater situation power or general balance of



power. An insurance company negotiating a settlement with its insured, for example, may employ this tactic. When you are on the receiving end of this tactic, evaluate the offer relative to your goal, range, and plan. Do not reject it just because of the manner in which it was offered. Ignore the word *final* in your evaluation. A quick resolution is fine—as long as it meets your requirements. When both sides take a direct approach, communicate effectively to understand each other, and make offers that solve the mutual requirements, negotiation can be that fast!

### **Bracketing**

**Bracketing** is moving in the opposite direction from your counterpart's offer by the same amount of distance from your target. For example, you may make an offer that is an equal distance above your target as the other side's opening offer was below your target. Or, if you were the buyer in such example, you would make an offer an equal distance below your target as the other side's offer was above your target.

Once this maneuver is made two or three times, an alert counterpart will have a fairly accurate indication of the target. While there is nothing wrong with this, often the primary function of this tactic is to attempt to withhold information. As such, it is not very effective!

Many use this tactic in the hope of splitting the difference. In analyzing the offers and counteroffers and considering that the other side may be bracketing, you can make a reasonable guess regarding the other side's target. The move may allow you to retain your flexibility by not hitting too close to your target. As is noted later in this chapter, your concessions should decrease in size as the negotiation on an item progresses.

### **Flinching**

**Flinching** is used throughout all stages of the negotiation process. It is often apparent, however, at the initiation stage in response to the opening gambit. Flinching is a behavioral reaction to an offer by the other side. Flinching may be surprise or laughter. The tactic is designed to make the other side make a move. If you are on the receiving end of this tactic, do nothing. Wait for the other side to make the next move. If the other side truly thinks that your offer was unreasonable, he or she should ask for support and reasons. If the tactic was a ploy,

your silence and waiting should force the hand of your counterpart.

### **Blocking**

**Blocking** is the act of ignoring all but a portion of a question or proposal. Blocking is also giving a broad answer to a narrow question or answering a different question than was asked. Answering a question with another question is another blocking tactic.

### **Good Guy, Bad Guy**

The good guy, bad guy tactic may be used by a team of negotiators, as explained in the next chapter, or it may be used in reference to someone not present during the face-to-face interaction. This tactic may be used at any point during the process; however, it is usually employed in the beginning or at the end of negotiations. Do not be disarmed by this tactic. Smile at the bad guy. Deal with the good guy, and deal with what is on the table.

### **Counteroffers**

The positions and parameters for the negotiation are established by the initial offers on each side. Once initial positions are established on each side, movements are referred to as *concessions*. Counteroffers are concessions. Counteroffers or concessions come in two basic varieties. You may adjust the item on the table—although not necessarily to the level requested by the other side. You may, alternatively, concede an adjustment but tie it to your counterpart's agreement to something else that you want. With the second variety, you give something and receive something in exchange. As stated elsewhere in this book, the positions should be principled, reasoned, and supported. Concessions are also discussed under intensification stage tactics and closing stage tactics later in this chapter.

## **INTENSIFICATION STAGE TACTICS**

The tactics discussed in this section are most typically utilized during the intensification stage of the negotiation process. The intensification stage is when the momentum on an item or issue has increased, the parties are very involved, and the offers are getting closer to the targets.

### **Diversion**

**Diversion** is an attack on the other side's weakest point. It is designed to divert attention from the counterpart's strengths when it is known that the strength of that position can be well supported. Rather than ask for support that will entrench the position, the other side attacks the weak and relatively irrelevant spots in the position. This tactic falls in the category of psychological games and may be considered disingenuous and manipulative. If you are the recipient of this tactic, recognize the strength of your position and do not be distracted or fooled.

### **Association**

Association is bringing in another issue to negotiate in relation to and with the issue on the table. It is often helpful for both parties to use the second issue in trade. It can strengthen your overall position to tie an item that is small to you, but that may be important to the other side, to an item that *is* important to you. This is an integrative and constructive technique.

### **Forbearance**

**Forbearance** is putting off a decision, not answering, or asking for time. Sometimes, if an impasse has been reached on an item, setting it aside and moving on to other items is the best course of action. If someone employs this tactic at the conclusion of negotiations, however, recognize that leaving the table means negotiations have failed.

### **Extrapolation**

**Extrapolation** is to give enough information for members of the other side to draw their own conclusions without actually answering the question directly. It is sometimes helpful, because the conclusion is then *theirs*, not yours. Individuals who develop the effective exercise of this tactic are very successful negotiators. This technique is also the essence of persuasion.

### **The Intense Squeeze**

The intense squeeze is a more intense version of the squeeze used during the initiation phase noted earlier. It is to allege that you have done the best you can do or that the other side has not done its best. It is employed to make the counterpart give in. When this tactic is used by your counterpart, guard against inappropriately increasing your concessions. An effective response is to ask for help—for information or reasons. You may also ask for a counteroffer.

### **Begging**

When someone begs, you should ask him or her to explain and support factually and/or conceptually why you should accept the request. Similarly, if someone bemoans his or her lack of knowledge or ability to negotiate, do not do the job on that person's behalf! Make him or her state a position. Begging may be done honestly or as a psychological game. Your response need not be affected by the counterpart's motive.

### **Bullying**

Bullying is one of the most obvious power-over techniques. Never try to engage a bully in a fight. Do not cave to a bully either. Stay calm. Restate your position and reasoned support with confidence. Lower the volume of your voice steadily. Finally, be silent or leave. Do not compromise with someone who is bullying you. If you move off of your position in response only to the bullying, you will be negotiating against yourself. Bullying is often used in a competitive negotiating style. It is also sometimes used by extremely negative or aggressive people who might have tried to begin the negotiation in a cooperative style but have lost self-control.

### **Limited Authority**

A party may claim limited authority as an excuse in the hope that the other side will then concede. Again, you should endeavor to negotiate only with the person who has ultimate authority or authority equivalent to your own. Do not fall prey to this tactic. Summon the person with authority!

### **Anger**

Anger is used to induce a concession by the other side. Do not be affected by outbursts or other displays of anger. It is an intimidation tactic. Stay calm. Lower the level of your voice. Thank them for their views, and proceed as you would have had there been no anger displayed. It is also sometimes appropriate to show offense or embarrassment for the other side. Feigned anger is sometimes used to intimidate. Remember that real anger precipitates the loss of control, which is very disadvantageous in negotiation.

Real anger is usually precipitated by some underlying fear. If you are the one angry, examine your fear and assertively address your real concerns. It is even okay to say that you are angry and that you are going to take a brief



break. Try to indicate your desire for a mutual resolution. If the other party is genuinely angry, it is okay to acknowledge that person's anger and, again, to express desire to find a mutual resolution.

### **Threats**

Like feigned anger, threats are attempts to use power aggressively. Threats are used for the purpose of precipitating a unilateral and unpaid-for concession by the other side. Carefully evaluate whether or not the side delivering the threat has the power to execute it. If the other party cannot control the threatened outcome, there is no real threat! Carefully evaluate the likely consequences of the threat being carried out. If the consequences are not negative, there is no real threat. Remember that once the threat is executed, it loses all power over you.

### **Veiled Threats**

Examples of veiled threats include "I never forget a face" and "I always pay my debts." These, along with the actual threats and feigned anger already noted, are competitive and aggressive intimidation tactics designed to make the other side cave from fear.

### **Handoff**

The handoff is an attempt to make it the other side's problem. "It's up to you now" is an example of the handoff. Do not accept! The task is to find a mutually satisfactory solution. Bring the other party back to focusing on the fact that you *both* need to solve the problem.

### **Intensified Concessions**

Do not give a concession unless the other side asks for one! When a stalemate exists requiring someone to make a move, a hypothetical concession is sometimes useful. If the other side says that your concession has no meaningful value, withdraw it. You can use it later. Do not be concerned about the number of concessions given or received. Keep your eye on your goal. It is the amount and substance of the concessions and progress toward your goal that matter. Many people employ bracketing (noted earlier) to structure concessions at one-half of the difference between the target and what is on the table. It is advisable to vary your practice so as not to be precise and not to be predictable.

### Splitting the Difference

Unless the offer meets your needs and goals, your response to this tactic should be to treat the amount as the other side's new starting point. Because of the risk in how it will be received, you should avoid using this tactic unless you are very close to closing the deal and what you offer is, indeed, within your goal. Using the bracketing tactic creates an impulse on the other side to use the tactic of splitting the difference.

### Equalizing

If the other side supports a position, you will be able to get movement only if you equally support your alternative position. This is known as **equalizing**. It is also consistent with the principles of persuasion. If your counterpart is unable to equalize your support, you are in the stronger position.

### Narrowing

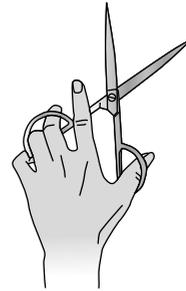
Narrowing is the tactic of resolving several issues sequentially in a pattern to narrow the disagreement to one issue. If you allow yourself to be put in this position and the remaining issue is a critical one for you, you may find yourself at the disadvantage of having run out of common ground. If the final issue is of equal importance to all parties, the order should not matter. Making it clear at the beginning of the negotiations that nothing is firm until all issues are resolved will protect you from the manipulative use of this tactic by your counterpart. If you find yourself in this position in negotiations in which you have employed tentative resolution, you can reopen any items necessary to use in trade.

### Intermission

The intermission tactic is to ask for time to think. Intermission may be used to cool off hot tempers. This tactic is often used ostensibly to consider the other side's proposal. The time may actually be used to garnish support for why the other side's proposal is *not* satisfactory! Therefore, prepare.

### Persistence/Patience

Often, after demonstrating calm persistence and patience in a position that has been reasonably supported, you will find that your counterpart's objections were over a relatively minute portion of the proposal. Once your counterpart has made clear his or her concerns, the proposal may be modified to be agreeable to both sides.



**“He that can have  
patience can have  
what he will.”**

*Benjamin Franklin*

## CLOSING STAGE TACTICS

There are ten key tactics often effective at the closing stage. They are described in this section.

### **Creating Time Pressure**

One side can exert time pressure on the other side by indicating an unavailability to hold additional meetings. Do not let anyone pressure you into agreeing to something you do not want!

### **Feinting**

**Feinting** entails raising another issue. After some negotiation on that new issue, the party who raised it gives in. The tactic is designed to make the other side feel obligated to give in on the previous issue to close the deal. Sometimes the issue raised is one that was not actually in dispute! Be careful not to lose sight of your target and overall goal, and be sure you are negotiating the real issues.

### **Reversal**

In reversal, a party reverses previous consent on a previous issue in response to not obtaining agreement on the proposal currently on the table. Provided the party has made it clear at the beginning of the process that nothing is final until all issues are resolved, it is possible to employ this tactic without losing credibility or acting unethically. The tactic can exert effective pressure to obtain closing.

### **Withdrawal**

Everyone tends to want what they cannot have! With this tactic, the proposal on the table is withdrawn. Sometimes the intent is to make the other side want the thing taken away. This tactic is particularly effective when negotiations are nearly complete and there is relatively little difference in the positions. It often works to close the deal.

This tactic is an example of applying reactance theory (Brehm 1966), commonly referred to as *reverse psychology*, as discussed previously. Using the withdrawal tactic presents much less risk than other more direct or deceptive attempts at reverse psychology.

### **Closing Concessions**

Generally, your concessions should be smaller the closer you get to closing an issue. You should try to make all of your concessions conditional on your receipt of a concession from the other side. You should give a concession in order to get something critical to your goal when you have exhausted efforts to general creative mutual satisfaction on an issue.

### **Silence**

Silence is the hardest argument to refute. Silence is often preferable to many other potential responses. If your counterpart has not said either yes or no, do not suggest that he or she leave and think it over. Refute silence with silence. To avoid a deadlock at the conclusion of negotiations on all matters, however, you may use a question such as, "Is there anything we have not covered?" Other questions or comments to break the silence may be, "What will it take?" or "Make me an offer." The tactics of reversal or withdrawal described earlier may also be used.

### **Ultimatum**

Delivering an ultimatum is a dangerous tactic, unless you are actually willing to end the negotiations and walk away. A mild ultimatum, such as saying that you cannot see any alternatives unless you are missing some facts or data, may be used without risking breaking off negotiations. If the other party delivers a firm ultimatum that does not meet your needs, do not accept it. You should present reasons and support for why you cannot acquiesce, and you should convey a desire to find a mutually satisfactory solution. A search for creative alternatives and shifting to another issue are appropriate responses to an ultimatum.

### **Walking Away**

You must be prepared to walk away if the matter cannot be resolved satisfactorily. It is natural to resist giving up after expending time and energy in the negotiation process. You are vulnerable near the end of the process. Guard against agreeing to something you do not want. If your counterpart walks out, do not be intimidated into agreeing. Do not agree to something you cannot honor.

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#### **Hot Tip!**

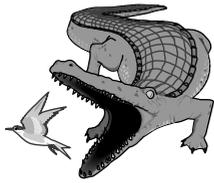
**"Better to remain  
silent and be  
thought a fool than  
to speak out and  
remove all doubt."**

*Abraham Lincoln*

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**“Victory belongs to the most persevering.”**

*Napoleon*



### **Creativity and Patience**

Creativity and patience will be your most effective tactics in the toughest spots.

### **The Nibble**

**The nibble** is asking for just a little more or one more thing after the parties have just finalized the entire agreement. Whenever possible, it is a good idea to save something to give away in order to finish the deal. It makes some people feel good to get the last word in this manner. An alternative response to a nibble is to chuckle and acknowledge it as a nice try and done in jest. A word of caution is warranted in doing the nibbling. There is a point of going too far. On occasion, asking for just one more little thing has broken the deal.

## **NEGOTIATING IN A REPRESENTATIVE CAPACITY**

When you are negotiating in a representative capacity, it is often advisable to have the principal *not* attend. The principal's absence will reduce emotional vulnerability to the issues, and the representative's limited authority provides protection from hasty decisions.

Another special note is in order regarding authority. If you are negotiating on behalf of someone else—your client or employer, for example—you must establish clear limits on your authority and a clear understanding of what the principal wants you to accept and reject. You must remember that we all have different perceptions and needs. If you are an attorney, for example, and have rendered your legal advice, the client gets to decide what losses he or she is willing to take! Avoid confusing the roles.

Individuals negotiating on behalf of others must also be sure to keep the principal or client informed of all critical information, the views or positions of the other side, as well as the status of agreement and disagreement. You must guard against placing your goals, opinions, or ego above the needs and desires of the principal or client. Doing so may cause you to become competitive. A competitive negotiating style will limit your vision and cause you to risk losing all.

## **A WORD ON DECEPTIVE TACTICS, DIFFERING STYLES, AND ETHICS**

Deceptive practices and emotional appeals may surface at any stage of the negotiations. You must be prepared for the other side to play certain psychological games. Extreme positions, reluctance, the squeeze, bullying, anger, and threats are some of the tactics employed to play psychological games. You must also be aware of the other side's attempts to exert various types of power.

Some people will attempt to gain advantage or employ unfair tactics by initiating telephone negotiations. The person calling has the advantage of being prepared and finding you unprepared. It is easier to mislead on the telephone; expressions and body language cannot be observed. It is easier to reject an offer on the telephone. It is also easier to be a bully on the telephone. Do not allow yourself to fall into these predicaments. You should develop your assertion skills to the level of being able to refuse the interaction at that particular moment in time. However, self-disconnection has been known to occur. Some people will find it easier to hang up on themselves in midsentence than to say "no" to the telephone call! When the original caller calls back thinking that the disconnection was a technical glitch, the intended recipient does not take the phone. If you are on the receiving end of such a disconnection, you will have to set another negotiation date.

The cooperative/collaborative approach is the key to win-win negotiation. Certain situations, however, are ripe for using the aggressive, competitive negotiating style. Competition in negotiations can precipitate unethical behavior. One-time interactions in which the other party fears no repercussion from your dissatisfaction or from his or her unfairness are the ones in which to be most on guard. Most major purchases of durable goods—automobiles, furniture, stereos, and appliances—are prone to a win-lose style. In such settings, you can, nevertheless, keep your eye on your goals and your alternatives.

You must establish and maintain your own personal integrity. Some people think it is acceptable to take advantage of a party's weakened physical condition. Others think such conduct is unethical. Is it unethical to take advantage of the other side's fears?

Certain conduct in negotiations is clearly unethical. Any misrepresentation, false claim, or lying is unethical. Any form of deception is unethical. Is selective disclosure during negotiation unethical? What is the difference between puffery and lying? This is the area that

## Alternative Styles, Strategies, and Techniques of Negotiation

is difficult to explain, but we all know in our hearts when our line has been crossed. If you are using discretion in the extent and timing of your disclosures, you are not acting unethically as long as you are not leading the other side to believe something you know not to be true. If I tell you what I want and withhold from you what I think I will accept, I am not being deceptive necessarily. I do not know what I will ultimately accept until I know all of the aspects of our full agreement.

Even though you maintain your integrity and refrain from misrepresentations and deceptions, you must not assume that the other side is necessarily playing by the same rules. You should also note that there are cultural differences in expected and accepted negotiation behavior. You are well advised not to trust the other side too much, and you should get verification and support for important matters. If you find that someone has been unethical during the negotiation process, you may express your dissatisfaction or difficulty with the tone and conduct of the negotiations. If the other side repeatedly evidences unethical behavior, you can terminate the negotiations. You have options and alternatives!

### Performance Checklist

- ✓ Negotiation begins with the introductory stage. The tone is established during the initiation stage. Process and style may be negotiated during this stage. Significant progress is made in sharing information and gaining momentum during the intensification stage.
- ✓ Behavioral patterns in negotiation may be understood in terms of tactics. There are no rules regarding when each tactic may be used. Some tactics are clearly competitive and manipulative, while other tactics are conducive to collaboration and integration. Some tactics are particularly helpful in closing the deal.
- ✓ When negotiating in a representative capacity, it is critical that negotiators clearly understand the limits of their authority and refrain from substituting personal goals and ego for the goals and needs of the principal.
- ✓ Negotiators must also establish and maintain their own personal integrity during negotiation.

### Key Terms, Phrases, and Concepts

Introductory Stage

Tone of the Negotiation

## Alternative Styles, Strategies, and Techniques of Negotiation

Loaded Questions

Tentative Resolution

Reluctance

The Squeeze

Bracketing

Flinching

Blocking

Diversion

Forbearance

Extrapolation

Equalizing

Feinting

The Nibble

### Review Questions

Mark each of questions 1 and 2 as True (T) or False (F) and answer questions 3 through 10.

- T F 1. Taking extreme positions is a competitive tactic.
- T F 2. The tactic of reluctance is compatible with all four major negotiation styles.
  3. Would a sensor or an intuitor be most comfortable with the tactic of bracketing? Why?
  4. Would an individual with high competitiveness with others likely be successful using extrapolation? Why or why not?
  5. How does your study of common mistakes made in negotiation prepare you to respond to certain tactics?
  6. Describe how you plan to set the tone in your next negotiation.
  7. How many signs of psychological games can you identify? Name them.
  8. Explain the difference between a loaded question and a safe question.

## Alternative Styles, Strategies, and Techniques of Negotiation

9. Why is it important to use the tactic of tentative resolution?
10. Explain the difference between feinting and blocking.

### **Case 1**

Reviewing some international incidents will help you to identify many negotiation tactics. There are many scenarios to use for such a case study. Three are presented here. First, try to recall the events surrounding the Cuban missile crisis. Second, try to recall the sequence of events transpiring just before Desert Storm. Third, try to recall the sequence of events that transpired just before the United States began Operation Freedom in Iraq. For each case, address the following questions.

### **Case Discussion Questions**

1. How many of the following can you identify: threats, ultimatums, bullying, blocking? What other tactics can you identify?
2. Did any party use bullying? If so, how? Did any party give in or make inappropriate concessions? If so, how?
3. Describe the strategy or strategies used by any of the parties in any of the conflicts.



# Team Negotiation

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn the additional complexities presented by team negotiation
- To learn how to gain benefits from team negotiation
- To learn how to avoid detriments of team negotiation

**“Teamwork is a lot  
of people doing  
what I say.”**

*Marketing Executive,  
Citrix Corporation*

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Is the statement in the opening quotation true? Maybe! Does the statement describe the best way to gain benefits from teams? *No!* In this chapter, we describe special matters that must be considered when teams are involved in negotiation.

## ADDITIONAL COMPLEXITIES OF TEAMS

As you have learned from the material presented thus far, human interaction between two individuals is sometimes difficult. Additional human beings add further interaction dynamics. Conflict between and among team members may present itself. Such conflict may arise from personality, style, perception, and communication differences. It may arise from differences in individual abilities. It may also arise from power differentials and from substantive issues. The complexities and difficulties increase with larger-size teams. Furthermore, the nature of the task may or may not be most appropriate for team effort. That matter and other group dynamics are discussed in the next section.

## GROUP DYNAMICS

**“Light is the task  
when many share  
the toil.”**

*Homer, Iliad*

When the issues are limited or finite, you are certain that you hold all of the relevant information and expertise, and time is short, individual negotiation is likely to be best, unless you seek to balance personality factors during the interaction with the other side. Those factors are discussed further in following sections of this chapter. However, when the negotiation presents many and complex issues requiring much and differing expertise, the use of teams is likely to be beneficial provided that group dynamics are effectively managed.

Your negotiation team is likely to be a relatively temporary task group that has been formed to accomplish your goals in collaboration with your negotiation counterparts. Much research has been conducted relative to work groups. Even though it may be a temporary group, you can expect the members to progress through **stages of team development**. These stages are (1) mutual acceptance, (2) communication, (3) motivation and productivity, and (4) control and organization (Bass and Ryterband 1979).

Time must be allowed for formation activities that culminate in preliminary mutual acceptance. The next step is for team members,

## Team Negotiation

through communication, to establish respective roles and rules or norms of behavior. During this step, team members begin to respect and trust each other. If conflict is being managed or resolved appropriately, the team will begin to address the task. Beginning to work together will increase cohesion and commitment to the common goals.

The extent of similarity among team members will affect the type and level of conflict. The more team members are alike, the less conflict will be experienced. More conflict will be experienced in diverse teams. However, conflict is good! The basic purpose of using teams is to gain additional minds. That principle is evident in research on group productivity. A homogeneous group is likely to be more productive when the task is simple and quick action is necessary while a heterogeneous group is more productive when the task is complex and requires creativity (Bass and Ryterband 1979).

Care must be taken to maintain constructive conflict—sharing of differing points of view. If such conflict is avoided, the team is subject to the phenomenon of **Groupthink**. Groupthink is experienced when highly cohesive teams begin to place the value of their friendship or cooperation above the value of the task (Janis 1982). Groupthink will result in expressed consensus and failure to introduce conflicting thoughts and data—all to the detriment of task outcome. The introduction of constructive conflict in these situations may be accomplished by playing devil's advocate or suggesting hypothetical scenarios. Brainstorming is another technique that may stimulate individuals to voice thoughts openly. The only rule in brainstorming is that there are no rules! All thoughts are encouraged.

While conflict is necessary for effectiveness, destructive conflict is likely to polarize members (Moscovici and Zavalloni 1969). When members are polarized, communication ceases and effectiveness is destroyed. Without communication, the benefits of additional minds cannot be obtained.

Another aspect of group dynamics is that groups tend to be more willing to take risks (Wallach, Kogan, and Bem 1962). Therefore, care must be taken to reevaluate all positions.

### **HOT TIP!**

Diversity can be used to increase constructive conflict.

## **GOOD GUY/BAD GUY**

You may recall the good guy/bad guy tactic presented in a prior chapter. This is the primary tactic more easily used by teams than by individuals. Sometimes a team member is designated to play a

## Team Negotiation

role acting as the good guy. Playing roles sometimes works and sometimes does not work. The tactic of good guy/bad guy is particularly helpful when one negotiator on each side has difficulty communicating with one on the other side and the person designated as the good guy is able to reach the counterpart perceived as difficult. In such cases, one team member is perceived as the good guy; however, in reality, that person is facilitating communication by serving as somewhat of a mediator. If all team members are alike, this tactic is more difficult to use. The next section of this chapter addresses complementary choices.

### **COMPLEMENTARY CHOICES**

Team diversity provides the greatest benefit in using teams for negotiation. Look for diversity in individual personality, style, and perspective. Also look for diversity in knowledge and expertise. A team may be built with individuals who have strengths in the areas of a single negotiator's weaknesses. In that way, team members complement each other and reduce the interpersonal difficulties encountered in one-on-one negotiation.

That having been said, note that diversity may also present difficulties. Team members must view the conflict presented from individual differences as positive and use that conflict constructively. If that diversity becomes divisive, using a team will be more detrimental than beneficial.

There are also personality characteristics discussed in other chapters that are more and less conducive to team participation. Individuals with high levels of openness, sociability, and emotional stability tend to be more willing to work in teams and, therefore, more effective in teams. Individuals with high needs for personal power, competitiveness, or authoritarianism tend not to work well in teams.

### **MAXIMIZING BENEFITS AND MINIMIZING DETRIMENTS**

Person mix and positive use of constructive conflict are crucial to maximizing benefits that may be gained with team negotiation. In addition to balance in the team, you will need to negotiate with each other, prepare together, and share information and views with each other prior to entering into negotiation with the other side.

## Team Negotiation

Failure to do so will invite detrimental team conflict during the negotiation process.

It is also a good idea to establish rules of conduct and roles to be served. Those rules may include a predetermined signal to be used by team members to signify a need for a team caucus during meetings with the other side. This will enable you to use each other to stop runaway enthusiasm or anger, or to avoid proceeding with erroneous assumptions, or to interrupt other inappropriate and detrimental behavior by a team member.

Sometimes teams are used for no purpose other than to outnumber and intimidate the other side. This is an aggressive and competitive approach. Recognize that it may be interpreted as just that. If your counterpart is going it alone, you most likely should do the same—unless you advise your counterpart ahead of time of your desire or need for additional negotiators. It is important that the other side know how many people will be involved and what the role of each is to be. It is important to allow the other side the same number of people.

Note that you may opt to use a team in preparation even in cases in which you will approach the interaction with the other side individually. In complex matters, effective teams will improve the work product.

### Performance Checklist

- ✓ Using teams in negotiation can often be beneficial. Teams may be utilized during preparation and/or during the interaction stages of negotiation. Teams are most beneficial when used to address complex matters to be negotiated in instances in which time is not short. Using teams will introduce additional complexities. All the matters of individual differences and sources of conflict discussed in previous chapters apply to interactions among team members. Teams develop through stages referred to as acceptance, communication, productivity, and organization.
- ✓ The more diversity—in terms of personality, style, approach, and perspective—that exists among team members, the more beneficial will be the outcome of using a team, provided that conflict is appropriately managed and resolved. Less diversity in team membership diminishes the ability to generate multiple views and creative solutions. If team conflict is avoided, groupthink may occur. If team conflict is mismanaged, division may result to the detriment of team productivity.

“ . . . [I]f you . . .  
click as a group,  
your teamwork  
and commitment  
may even be  
strengthened.”

*Joe Torre, manager,  
New York Yankees*

## Team Negotiation

- ✓ Techniques of generating and maintaining an effective level of conflict and cohesion in teams include playing devil's advocate and sharing common goals. Rules of conduct and important signals should be established prior to commencing negotiation with the other party to the negotiation. The counterpart in the negotiation should be advised of the intention to utilize a team and should be allowed a reciprocal option.

### **Key Terms, Phrases, and Concepts**

Stages of Team Development

Groupthink

### **Review Questions**

Mark each of questions 1 and 2 as True (T) or False (F) and answer questions 3 through 10.

- T F 1. When using team negotiating, it is necessary to negotiate with team members.
- T F 2. Using teams in negotiation presents additional complexities and challenges.
- 3. Name the stages of team development.
- 4. When will a homogeneous group likely be more productive than a heterogeneous group?
- 5. When or on what types of tasks will a heterogeneous team be more effective than an individual negotiator?
- 6. Name three aspects of personality that are conducive to working effectively in teams.
- 7. Name three aspects of personality that are not particularly compatible with teamwork.
- 8. Why are teams more useful on complex matters than on simple ones?
- 9. Evaluate whether or not you are an effective team member. What are the reasons for your effectiveness or ineffectiveness? What can you do to become more effective in a team relationship?
- 10. When would you play devil's advocate? Would you be good at it?

## Team Negotiation

### **Case 1**

Adel works for a major airplane manufacturer in the Midwest. He must travel to Washington, D.C., to negotiate revisions to a contract with the U.S. military. The key issues presented are cost overruns due to complex engineering changes. He has two weeks to prepare for the meetings, which will run over a period of three days in Washington. His department is currently spread pretty thin working on several projects simultaneously. Adel's staff is a fairly homogeneous group, most with engineering backgrounds. His two senior people typically disagree on everything.

### **Case Discussion Questions**

1. What factors should Adel consider in deciding whether or not to use a team for the negotiation?
2. What additional information would you desire before making your final decision on whether to take a team to Washington?
3. How should Adel decide whom to take to the negotiation?

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# Third Party Intervention

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## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn four types of third-party intervention processes
- To learn special components of labor-management negotiation
- To learn tips for using third-party intervention processes
- To identify skills required to be a third-party interventionist

**“Here I stand; I  
can do no  
otherwise, God  
help me. Amen.”**

*Martin Luther*

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## Third Party Intervention



Sometimes parties involved in a conflict are unable to manage or resolve it by themselves. The parties may be unable to agree on the process or approach to be used. Parties may be unable to reach agreement on the issues in dispute. Parties may be unable to find common ground necessary to come to agreement. Such obstacles may arise from a variety of causes. Style and communication differences, perception differences, cultural differences, and anger are typical causes. Parties may experience these problems when setting out to develop a new relationship, such as a new business venture or other business contract arrangement. These problems may also arise during the performance of contracts previously agreed to, and these problems may be encountered in trying to settle what both parties agree is a wrong done by one to the other. Impasse may arise at any point in the conflict, negotiation, and persuasion process.

When impasse occurs, a neutral third party may be able to facilitate agreement and resolution. Sometimes all that is necessary by the third party is to get the principal parties communicating. Using a third-party interventionist often alleviates the need to resort to formal litigation. Thus, the term used to describe that process is **alternative dispute resolution (ADR)**. Sometimes third-party intervention is used in conjunction with litigation. Many written contracts specify an ADR for prospective disputes between the parties.

In this chapter, we discuss major types of third-party intervention along with tips and skills for using these processes.<sup>1</sup>

### CONCILIATION

#### KEY TERM

Conciliation is a process to foster goodwill.

**Conciliation** is the least intrusive of third-party processes. A neutral person agreeable to all parties is selected to serve as **conciliator**. The conciliator serves as a go-between. Typically, the conciliator meets separately with each party in attempts to persuade the parties to proceed with each other. Thus, the conciliator's primary role is to reestablish or improve communication between the parties. The

<sup>1</sup> Nationally recognized formal certification or licensing in the field of conflict intervention does not exist. However, forty hours of study tends to be a generally recognized standard. Interested persons may contact state and local court offices for information regarding study and experience requirements for serving as conciliators, mediators, or arbitrators. Many institutions of higher learning offer programs of study in conflict and negotiation. Some private organizations provide such training as well. One organization known internationally is the Mediation Training Institute International. Information may be obtained from that organization at <http://www.mediationworks.com/medcert2/faqs.htm>.

## Third Party Intervention

conciliator is not expected to provide input on substantive matters. When the parties are too angry to speak with each other, a conciliator may be all that is needed. It is not uncommon for the conciliator to assist in process suggestions. The conciliator may make process suggestions to each of the parties regarding ways to facilitate communication. However, during conciliation, it is the parties who remain in control of negotiation.

### MEDIATION

**Mediation** is a process that allows for substantive input by the third party. The mediator's role is to assist the parties in finding common ground and coming to resolution. The mediator may play the role of both conciliator and **mediator**, depending on the nature of the obstacles. The mediator may meet separately and jointly with the parties. With mediation, as with conciliation, the parties maintain control of resolution.

The role of the mediator is to actively assist in finding common ground and resolution. The mediator gathers information, evaluates issues, hears both sides, and makes suggestions. Private mediation is confidential and informal. When private mediation is used, the parties must agree on the choice of mediator. The purpose is to clarify interests and goals, to evaluate relative merit and strength of positions, to explore alternatives, and to explain repercussions of failing to agree. It is important for the mediator to have relevant knowledge of the business and issues, including legal requirements and liabilities involved in the dispute. Often a licensed attorney expert in the particular type of dispute is selected as the mediator.

Mediation is also often annexed to court proceedings. Courts differ in the formality of their ADR programs. At times, the court may direct the parties to find a mutually agreeable mediator and undertake the process. Often, the court will appoint the mediator or direct the parties to a particular formal ADR program. The purpose of the mediation and the role of the mediator remain as we have discussed.

Mediation is the process used in federal, state, and local courts as an alternative to a settlement conference with the judge prior to commencement of the trial. In the federal system, a significant number of district courts and circuit courts use mediation programs. The mediators used are judges and lawyers. A large number of state court systems have also moved to formal mediation programs.

**“Make two grins  
grow where there  
was only a  
grouch before.”**

*Elbert Hubbard,  
Pig-Pen Pete*

#### KEY TERM

Mediation is a process to assist substantive resolution.

## ARBITRATION

**Arbitration** may be a private process or annexed to a court proceeding. If the parties are in dispute regarding an existing agreement, that agreement may contain a clause in which the parties agree to submit to arbitration. Alternatively, when negotiations appear to be in a stalemate, the parties may agree to submit to arbitration. The key difference between arbitration and the other processes already described is that when the parties submit to arbitration, they relinquish their control over the outcome. An **arbitrator** serves all of the functions served by a mediator plus the function of resolution. The decision is made by the arbitrator.

### KEY TERM

Arbitration is a process to decide.

When arbitration is part of a court system ADR program, sometimes the arbitrator will conduct an adversarial hearing and issue a nonbinding decision on the law and outcome. The parties then have a limited time in which to accept the decision or proceed to trial.

Note that when the parties proceed to arbitration, they are proceeding into a win/lose environment. Each party's perception of relative values and goals may or may not coincide with the perceptions of the arbitrator. Thus, it is not the optimum solution; however, it is usually more pragmatic and cost-effective than proceeding to full litigation.

## LITIGATION

**“The bow is bent,  
the arrow flies,  
The winged shaft  
of fate.”**

*Ira Aldridge, On William Tell*

Obviously, once the parties proceed to litigation, they lose control over the outcome. Like arbitration, this is a win/lose option. Litigation is also very costly and time-consuming. Unfortunately, it takes only one of the parties to land everyone in court! Therefore, sometimes litigation is unavoidable.

## LABOR-MANAGEMENT NEGOTIATION

**Labor-management negotiation** refers to negotiation between organizations and unions representing employees. There are some special considerations to observe in such contexts. Several federal laws govern this relationship. These laws may, in a sense, be viewed as a third party in the negotiation because the requirements must be observed with as much or more care as one observes other interests in negotiation.

## Third Party Intervention

Such laws, among other things, prescribe subjects that *must* be negotiated. That is, negotiation is mandatory and a party cannot refuse to discuss (or avoid) such subjects. In addition, certain behavior, tactics, or practices are deemed to be unfair and violations of the law.

Aside from these additional and special matters, the principles and the processes discussed throughout this book apply to labor-management negotiations as much as to other negotiations. However, due to the legal issues, legal expertise should be sought in this context.<sup>2</sup>

### REQUISITES FOR SUCCESSFULLY UTILIZING INTERVENTION

If you are at an impasse in a context in which you believe it is possible to attain an outcome better than any of your nonnegotiated options, then you should be ready for assistance. A high need for control as well as differences in individualist or collectivist cultural views may affect one's attitude toward using intervention. A person with a more collectivist orientation is likely to be more receptive to intervention.

Trying a conciliation or mediation presents a no-lose option. The parties remain in control and maintain all options. The cost for the process is usually a small price to pay for accomplishing your goals. Aside from that cost, the worst outcome from conciliation or mediation is that you gain another's opinions and, perhaps, discover additional options! Your approach for successful intervention should be win-win.

During conciliation, mediation, arbitration, and litigation, the parties (or their attorneys on their behalf) will, of course, continue persuasion efforts. It is important to recognize the potential detrimental repercussions of utilizing aggressive or competitive styles of behavior toward an arbitrator, judge, or jury. Credibility is paramount as well.

<sup>2</sup> Key federal laws governing the relationship between labor and management are as follows: Norris-LaGuardia Act, 29 U.S.C. Sections 101–115; National Labor Relations Act of 1935 (the Wagner Act), 29 U.S.C. Sections 151–169; Labor-Management Relations Act of 1947 (the Taft–Hartley Act), 29 U.S.C. Sections 141, 504; Labor-Management Reporting and Disclosure Act of 1959 (the Landrum-Griffin Act), 29 U.S.C. Sections 153, 1111.

## SKILLS NECESSARY TO EFFECTIVELY INTERVENE

Independence is critical to being an effective interventionist. The parties must perceive the third party as independent, as well. Top-notch communication and persuasion skills, open-mindedness, creativity, empathy, emotional intelligence, and unlimited patience are key skills necessary to effectively intervene. Consider all of the challenges discussed throughout this book and multiply them by the number of parties you seek to assist! Intervention is, indeed, challenging! But it is very rewarding.

### Performance Checklist

- ✓ The four types of third-party intervention are conciliation, mediation, arbitration, and litigation. The first three processes are called alternative dispute resolution (ADR) as alternatives to litigation. The parties maintain decision control of outcome in the processes of conciliation and mediation. The parties lose outcome control in the processes of arbitration and litigation. All four processes may be initiated by the parties. In many court jurisdictions, ADR is annexed to court proceedings and, as such, mandated to the parties. Court ADR systems may include both mediation and arbitration.
- ✓ Labor-management negotiation is a special context requiring compliance with several laws. In that context, legal expertise should be used along with application of all the principles and processes described in this book that apply to negotiation generally.
- ✓ Parties will likely derive the greatest success in using ADR when adopting a win-win attitude.
- ✓ Skills necessary for serving effectively as an interventionist include independence, patience, empathy, creativity, emotional intelligence, and top-notch interaction skills.

### Key Terms, Phrases, and Concepts

Alternative Dispute Resolution (ADR)

Conciliation

Conciliator

## Third Party Intervention

Mediation

Mediator

Arbitration

Arbitrator

Labor-Management Negotiation

### Review Questions

Mark each of the questions 1 through 5 as True (T) or False (F) and answer questions 6 through 10.

- T F 1. All third-party interventionists should be neutral.
- T F 2. The least intrusive third-party process is conciliation.
- T F 3. Parties lose outcome control in arbitration.
- T F 4. Mediators should help the parties find common ground.
- T F 5. Arbitration is often ordered by a court.
- 6. List three typical causes for impasse between parties.
- 7. Name a personality characteristic that may frustrate the successful use of an interventionist.
- 8. Why would it be true that collectivist cultures are more open to interventions?
- 9. How are the skills necessary to be an effective intermediary different from the skills necessary to be an effective negotiator?
- 10. Assess your potential for serving as a third-party interventionist.

### Case 1

You may recall the criminal trial of O. J. Simpson. Opinion regarding his guilt or innocence is sharply divided around the world.

### Case Discussion Questions

- 1. Is this an ultimate example of effective persuasion skills? Why or why not?
- 2. How much of the trial attorneys' efforts was negotiation?
- 3. What public relations efforts were undertaken? To what effect?

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# Using Your Personal Negotiating Power

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# Using Your Personal Negotiating Power

**“What we learn  
after we know it all  
is what counts.”**

*Alexander Pope*

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To integrate the material from previous chapters
- To identify tactics that likely will and will *not* work for *you*
- To learn how to develop your personalized negotiation strategies
- To learn how to deal with stalled negotiations
- To apply collaborative techniques in competitive and avoidance systems
- To apply your knowledge by practicing negotiation

## Using Your Personal Negotiating Power

The material in this chapter will assist you to hone your personal power by providing suggestions for matching tactics with personality and temperament, including tips for dealing with your opposites in negotiation. We also address special aspects of competitive and avoidant systems and stubborn counterparts. You will have the opportunity to assess what you have learned and tie it all together by tackling full-blown negotiation challenges.

### **DEVELOPING A PERSONAL NEGOTIATING STRATEGY**

The one best style of negotiation that is most likely to result in consistent success and honored agreements is the win-win style of the cooperative/collaborative approach, as has been explained in previous chapters. There is not, however, one best temperament; nor is there a single best strategy that, by itself, provides the key to successful negotiation.

Your temperament affects the tactics you are best able to employ. You must look to your uniqueness as strength. In developing your strategy, you must use your personality characteristics as assets. The key is in knowing yourself and adapting to the circumstances, situation, and other personalities involved. Disputes, differences, and personality conflicts can be managed and resolved when you understand and use the concepts of human behavior explored in this book. Your knowledge of self and others is what provides your personal power to reach your goals.

## QUIZ

The twenty-five questions in Box 1 will test your retention of some of the key concepts used in this chapter. You may use them as a review of prior material before you study the remainder of this chapter. Answers are provided at the end of this chapter.

### **Question 1**

Which descriptive words are consistent with a positive, or constructive, view of conflict and negotiation?

### **Question 2**

Might either Type A competitiveness or a high need for personal power be associated with a tendency to slip into any particular approach to negotiation?

### **Question 3**

Which conflict approach would a person with a strong Type B characteristic find naturally comfortable?

### **Question 4**

Think of a negotiation experience during which communication seemed relatively easy and requirements were clear. Try to identify briefly what contributed to the effectiveness of the communication.

### **Question 5**

Have you experienced a negotiation during which communication was very difficult or, perhaps, so ineffective that the negotiation broke down with no resolution whatsoever? Try to identify briefly what may have contributed to the difficulties.

### **Question 6**

If any portions of your answers to questions 4 and 5 relate to your counterpart's personality, temperament, behavior, or demeanor, try to identify whether or not those factors are similar or dissimilar to your personality, temperament, negotiating behavior, or demeanor.

### **Question 7**

If you are at the negotiating table with someone who speaks in general terms and consistently looks at and refers to the big

## Using Your Personal Negotiating Power

picture, you are most probably dealing with one of which two temperaments?

### **Question 8**

If you are at the negotiating table with someone focused on details, precision, and tangible results, you are most probably dealing with one of which two temperaments?

### **Question 9**

Which temperament would you say has the greatest potential for losing big?

### **Question 10**

How do you distinguish the harmonizer from the controller across the negotiating table?

### **Question 11**

The Jungian preference describing how one takes in information is designated as which two opposite processes?

### **Question 12**

The development of self-knowledge, self-management, self-motivation, and empathy will increase your ability to excel in human interaction and is known as what?

### **Question 13**

What is the first rule for effective listening?

### **Question 14**

What is filtering in negotiation communication?

### **Question 15**

Name three aspects of negotiation that may differ with culture.

### **Question 16**

What four types of goals should you identify in preparing for negotiation?

### **Question 17**

What are the *ACES* for persuasive argument?

### **Question 18**

How do you cross the *CREEK* to persuasion?

### **Question 19**

Of the twenty steps in preparing for negotiation, which one would you name as most critical?

*continued*

## Using Your Personal Negotiating Power

### Question 20

Do you need to worry if your counterpart thinks you are stupid? Why or Why not?

### Question 21

In terms of perception, what effect does the fundamental attribution error cause?

### Question 22

Is it true that individuals typically assume that others' cognitive structures are like their own and that our perception of others is colored by our self-perception? Why or Why not?

### Question 23

State two important concepts about power in negotiation.

### Question 24

In which negotiation cases are teams most appropriate?

### Question 25

What is the primary source of your power?

## THE INDIVIDUAL NATURE OF NEGOTIATION

### **HOT TIP!**

Be yourself.

This section includes general comments on the use of certain tactics relative to temperament and other personal characteristics. Some tactics will feel natural to you, and others will not. If you choose tactics that do not come naturally, you will have to develop your ability to use them. Some tactics may never feel comfortable to you. It is best not to use a tactic that does not feel right for you.

Which tactics work well in combination with other tactics will depend on the particular negotiation subject and circumstances as well as the temperaments involved. The concepts and pointers presented here are intended to assist you in developing your personal negotiating skills. The principles apply equally to simple and complex negotiations. Complex negotiating tasks, however, will require increased preparation time and analysis as well as a longer interaction time.

## MATCHING PERSONALITY AND TEMPERAMENT TO STYLE AND TACTICS

Although it is true that there is no one best temperament for negotiating success, it is worth noting key facets of personality that do

## Using Your Personal Negotiating Power

provide an advantage when using the win/win approach. People who naturally seek harmony, such as individuals with a high need for affiliation, and those who use tact and diplomacy in interacting with others start out with a natural skill required to effect successful negotiations. Individuals with high self-monitoring tendencies and those with high levels of emotional intelligence also possess skills beneficial in negotiating.

Harmonizers—and controllers to a lesser extent—often possess these natural tendencies. Negotiators with very strong tendencies toward harmony should take extra care to be critical during the preparation stage. They should focus on goals and stick to the plan. Another caveat about harmony is that there remains the challenge of interacting with the personality on the other side. There are facets of each temperament that, if improperly managed, may impede coming to a mutually satisfactory agreement. The interpersonal skills generally known as tact and diplomacy will serve you well in minimizing conflict when dealing with your opposites.

It is more tactful, for example, to tell people that their product is ahead of its time than to say that their idea is crazy or that the product has no value! It is more diplomatic to say that you want to avoid costly litigation than to say you are going to sue for all you can get. The manner in which you say things and the manner in which you employ various tactics should be adjusted to suit the situation and the personalities.

Beyond using principles of effective speaking and listening and using tact, diplomacy, and principles of persuasion, tactics should be reviewed to determine fit. Some tactics are clearly identifiable with particular personality characteristics and negotiating temperaments. Other behavior related to personality should also be considered, as is noted in the following paragraphs.

It is very likely that extroverts need to improve listening skills. It is very likely that introverts need to improve patience. However, introverts are likely to be very comfortable with the powerful tactic of silence. Those with Type A personality characteristics likely need to focus on resisting time pressure and developing patience as well. Those with a high level of competitiveness should work on asking questions with an open mind as a tactic for finding common ground.

Thinkers should guard against becoming rigid in thinking during negotiation. Feelers should guard against taking things as personal affronts during negotiation. Individuals seeking to develop their feeling preference should practice being open to alternative points of view. Individuals seeking to develop their thinking preference should practice detaching—trying to care a little less about what others think of them.

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**KEY CONCEPT**

One size does *not* fit all.

## Using Your Personal Negotiating Power

Individuals with low levels of emotional stability may be at a disadvantage in the negotiation process and should practice self-control. Such individuals may also have particular difficulty using the tactics of patience and calm persistence. Individuals with high levels of conscientiousness often are able to effectively utilize persistence.

Using distractive tactics will likely feel natural to a harmonizer or an action seeker because of their natural tendency to seek new information and to look at multiple issues simultaneously. The use of these tactics will not come as naturally to the controller or the pragmatist.

Pragmatists should take care not to overuse the tactic of bracketing and should work on maintaining flexibility. The pragmatist turned street fighter is likely to have little difficulty using the tactics of reversal or withdrawal. The street fighter is also most likely to use bullying tactics. Individuals with a high need for personal power or high Type A competitiveness may also be at risk for using competitive tactics.

Using the tactics of reversal and withdrawal will likely not feel natural to harmonizers because of their concern for the personal feelings of their counterparts. These tactics will usually not come naturally for the pragmatist or the controller because of their preferences for sequence, order, and resolution.

When negotiating with a controller or a pragmatist, the harmonizer should try to limit mental ruminations. Such may be interpreted as diversion tactics. The controller and the pragmatist are likely to be more comfortable delivering the first and final offer than they are being the recipient of the tactic. Harmonizers and controllers may feel natural with the blocking tactic. They should note its potential for creating offense, especially to the pragmatist.

### PREDICTING BEHAVIOR

If we know someone's basic style of interaction and his or her motivation, we can predict his or her behavior. Thus, in negotiation, an understanding of a person's temperament, interests, and goals enables us to select effective tactics. If you are dealing with a preference opposite to yours and you evaluate the person's words and actions according to your preferences, communication will fail at best and conflict will arise at worst.

#### KEY CONCEPT

You should have seen it coming!

In developing your strategies for dealing with different temperaments, use the principles examined in previous chapters to anticipate how the other person will receive various tactics. For

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example, distractive tactics such as diversion and feinting will likely work when used toward a harmonizer or an action seeker but likely will not be as easily employed toward a controller or a pragmatist.

Harmonizers often perceive controllers as aggressive or overbearing. A harmonizer may view the tactics of reversal and withdrawal as personal affronts, unless they are delivered in a context of searching for alternative conceptual solutions. These tactics may be very effective, however, when used toward a pragmatist or a controller because of their penchant for order and need for closure. The tactics may also be effective on an action seeker due to his or her in-the-moment enthusiasm.

Order is much more important to individuals with a strong judging preference. Hence, interrupting order may cause disorientation for controllers and pragmatists.

Concession patterns may require adjustment for the personality of the other side, as well. For example, you can anticipate that the pragmatist will be somewhat stingy in his or her concessions. Therefore, you should slow the pace and the amount of your concessions.

The tactic of forbearance will be tough for a controller or a pragmatist to accept. Such reaction may mean that the tactic will be particularly effective in gaining a concession, or it may mean that use of the tactic will create conflict. The result will depend upon the manner in which it is used and the stage of the process in which it is used.

The tactic of extrapolation may be particularly helpful when negotiating with a controller or a pragmatist because of their strong opinions. Tactics designed to intensify issues or exert pressure will be received in different ways by different temperaments. Pressure tactics will usually not move the harmonizer to decision but may move the action seeker to decision. Pressure tactics may create excessive conflict with the controller or the pragmatist.

Harmonizers and action seekers are more susceptible to diversion tactics being effective on them. Harmonizers and action seekers will be less bothered being the recipients of the first and final offer tactic. Controllers and pragmatists may become angered by this tactic.

### **THE PROBLEM COUNTERPART**

What if the other person will not cooperate? What if, despite all of your best efforts using what you consider to be the most effective tactics, the counterpart will not budge?

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In situations of the latter type, breaking matters into smaller pieces or issues is often helpful. This technique is often called *fractionating*. *Reframing*—or stating your position with a different perspective—is another technique that is often helpful. Look for constructive ways to describe the situation, process, or issue in dispute. You may also try a different *ACE* in your persuasive argument.

If your counterpart indicates a desire to continue negotiating but cannot propose something that moves the process forward, you may also try a hypothetical. You may use your understanding of what benefits the counterpart and resolves the matter in describing what you would do in a hypothetical in which the counterpart provides what you desire of him or her.

In situations in which the other person appears to be the problem in that there is simply no effort being made, you have three good options: (1) disengage, (2) go to higher authority, or (3) assertively confront the person. Using assertive language, investigate the other person's feelings and positions as well as his or her fears. Words such as "I am having difficulty understanding exactly what your objections are" are appropriate. "I do not understand your position" is also appropriate. Ask questions in an effort to find common ground.

## NEGOTIATING IN COMPETITIVE SYSTEMS

You may wonder how one uses a collaborative approach in a competitive system. Many legal systems present examples of competitive systems. The U.S. legal system is structured to be adversarial and envisions a winner and a loser in each case. Obviously, neither the attorneys nor the parties in a case have the power to alter the nature of the legal system. Because litigation is a win/lose option, it is usually the last resort to resolving conflicts. Nevertheless, until trial actually gets underway, the attorneys and the parties may continue to approach resolution in collaborative styles.

Once the parties arrive in trial, the focus necessarily must change to protecting oneself from loss. That does not mean, however, that aggressive tactics with the judge or jury are appropriate! Such tactics will not be met with pleasure. The system notwithstanding, the primary task to be accomplished once in litigation is to persuade the decision maker to your view.

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The use of aggressive or manipulative communication will be no more persuasive in a courtroom than it will be anywhere else. Even though the outcome of the case is destined to be largely win or lose, the best chance of succeeding in getting what you want is to use all the *ACES* you can find.

As noted previously, the arena of purchasing an automobile is another competitive structure that you have no ability to change. To be sure, you should prepare by investigating manufacturers' suggested prices, options, and alternative dealers. However, in these situations, your information will always be incomplete on the single most critical item—the dealer's bottom line. You have no way of knowing or verifying how long the dealer has held the car, or how much interest he or she has paid on the car, or what special arrangements or circumstances the dealer may have that affect the dealer's parameters. The best one can do in this arena is, again, to present *ACE* arguments, stress common ground of mutual desire for a sale, make an emotional connection, and stick to one's walk-away plan.

A competitive structure or system need not be synonymous with aggression or intimidation. Such tactics will further polarize the parties in a competitive system. The importance of preparation and evaluation of alternatives to negotiation is underscored in such cases; however, it is possible to pursue a collaborative approach within the constraints on both sides. The negotiation will be, nevertheless, conducted between human beings. Careful analysis of a competitive system is necessary for finding common ground and identifying what you have to offer your counterpart in negotiation.

### **NEGOTIATING IN AVOIDANT SYSTEMS**

Just as is the case in competitive systems, the principles for effective interaction and collaborative negotiation apply in avoidant systems. Assertion and persuasion become particularly important in avoidant systems due to the structural inertia in acknowledging conflict. A positive, collaborative, win-win interaction is necessary to overcome negative attitudes toward conflict that are sustained by the system.

## MINI NEGOTIATION EXERCISE

The mini negotiation challenges in Exercise 1 below will allow you to hone your diplomacy skills before you tackle the larger practice problems.

### Exercise 1

#### Negotiation Challenges

##### SCENARIO 1

Place yourself in the position of department manager. One of the individuals in your department has worked all night to complete a report due this morning. When you look at the report, you see that one of the assumptions on which the report is based is in error. While you had discussed the premises and format thoroughly prior to the work, the report is now incorrect. How would you begin to negotiate in this situation?

##### SCENARIO 2

Place yourself again in your work environment. Assume that you are very close social friends with one of your associates and that at the end of the day he suggests going to a nearby restaurant. Another associate, whom you dislike and who the prior week placed you in a bad light with your boss, invites herself to join you. How would you begin this negotiation?

##### SCENARIO 3

Assume that you have just completed a task that you believe was expertly done. It constituted a complex written analysis and persuasive interaction requesting approval of a new project. Your presentation was to a committee of six individuals and required only majority consent for approval. Four committee members approved. Following the meeting, one of the individuals who disapproved of your proposal tells you that your data are in error and that the company is making a big mistake going forward. How would you begin a negotiation to win this person's approval?

Potential answers to the scenarios in Exercise 1 may be found at the end of this chapter.

## PRACTICE

The best next step you can take following your study and understanding of what has been presented here is to practice. Then practice

## Using Your Personal Negotiating Power

and practice more! Use case problems to integrate the principles studied in this book by applying them to formal negotiation processes.

You may practice by playing the role of a party in interest. You may, alternatively, practice negotiating in a representative capacity, either individually or in a team. You may also role-play as a conciliator or a mediator. Remember, however, that the best way to know yourself and, therefore, improve is to practice negotiating on your own account.

There are no “right” answers provided for these cases. The “right” answer in each case is the one that satisfies both parties and is within your appropriate goals. The evaluation questionnaires provided in the next chapter will assist you in evaluating your results.

The following summary steps may help you get started.

- Identify all components of the problem or transaction.
- Obtain as much information as possible.
- Get a *GRIP* on what you need and want.
- Assess the other side’s wants, needs, and perceptions.
- Assess what you have.
- Assess the balance of power.
- Identify what is in disagreement and what is in agreement.
- Determine your alternatives to negotiation.
- Plan your strategy and agenda using your *ACES*.
- Establish trust.
- Meet the other’s needs.
- Use the other’s ideas.
- Make the interaction win/win.
- Hear the other.
- Talk the other’s language to cross the *CREEK*.

### **SUGGESTIONS FOR CONTINUED DEVELOPMENT**

As noted in the preceding section, practice is necessary for continued development of your negotiation skills. If you pay attention to your everyday interactions, you will find ample ground for applying your knowledge and practicing your skills. Practice every day on your own affairs. Practice thinking of negotiation as an opportunity—or as fun!

It is usually helpful to maintain a journal of your interactions. Make notes of your interpretation of and reactions to the

## Using Your Personal Negotiating Power

characteristics and behaviors of others. Try to identify the negotiation temperaments of those with whom you interact. Make a list of the problems you encountered and the effort you must make in negotiations with your opposites. Try to assess how others perceive you. The hardest task in improving your negotiation may be in acknowledging how others perceive you. Remember also that the minimal features of conflict are values, meanings, perceptions, attributions, communication, and interdependence.

Know yourself.    Know Others.    Know The Situation.

### Performance Checklist

- ✓ Effective negotiation is an integrated process of knowing yourself; correctly diagnosing conflict, as well as interests, needs, and goals; and communicating to the end state of mutual benefit. The style of negotiation most likely to result in consistent success and time-honored agreements is the cooperative/-collaborative style. There is not one best temperament, nor is there one best strategy for all negotiations.
- ✓ Your temperament affects the tactics you are best able to employ. It is best not to use a tactic that does not feel right for you. Personality characteristics and temperament also affect reaction to certain tactics,
- ✓ Your personal strategies will include an effective combination of tactics, the selection of which depends upon the particular negotiation and individuals involved. In developing your negotiation strategies, you must use your personality characteristics as assets. Knowledge of self, others, and the situation provides your personal negotiating power.
- ✓ Fractionating and reframing are techniques helpful when encountering stalled negotiations. Three options for dealing with problem counterparts are to disengage, go to higher authority, or confront the counterparts.
- ✓ Competitive systems do not necessarily require aggressive tactics. Collaborative tactics aimed at finding common ground are important to negotiating in competitive and avoidant systems. Preparing assertive arguments loaded with *ACES* and following the principles of crossing the *CREEK* to persuasion provide the best chances for success in all systems.

## Using Your Personal Negotiating Power

- ✓ Integrating all that you have learned will require application through practice, practice, practice!

### Key Terms, Phrases, and Concepts

Personal Negotiating Power

Predicting Behavior

### Review Questions

Mark each of questions 1 through 4 as True (T) or False (F) and answer questions 5 through 10.

- T F 1. It is possible to predict behavior.
- T F 2. It is just a fact that some people are natural negotiators.
- T F 3. Individuals should carefully consider which tactics fit them.
- T F 4. Some tactics are distractive while others work to focus participants.
- 5. Identify at least two natural tendencies you possess that help to make you an effective negotiator.
- 6. Identify what aspects of your personality make you most vulnerable to errors in negotiation.
- 7. What knowledge is necessary to predict others' behavior?
- 8. Identify two areas in which you require the most improvement.
- 9. What will you do to improve your performance in the areas you identified in question 8?
- 10. What steps should you take when confronted with an uncooperative counterpart?

### Case 1

Juan Braun works for an international accounting firm. He is a gentle soul. In fact, in one of the reviews that followed an auditing engagement, he was told that he is simply too shy and sensitive to succeed in public accounting. His technical reviews are outstanding. His clients praise him for his persistence, patience, and understanding. They also comment on his knowledge and intelligence. Juan has been accepted into law school. A colleague told him that the firm encourages only tax division employees to attend law school. Juan intends to remain in the audit division. Juan plans to go to the

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partner in charge of the office and demand a revised schedule that will facilitate his attending and completing law school.

### Case Discussion Questions

1. Critically evaluate Juan's strategy. Will it be effective? Why or why not?
2. What makes Juan most vulnerable in this case?
3. Design a new, more effective strategy for Juan.

### Answers to Quiz in Box 1

- ✓ Answer to Question 1: Positive approach words include interaction, mutual benefit, interdependence, opportunity, difference, exchange, persuade, exciting, stimulating, and challenging.
- ✓ Answer to Question 2: A high level of Type A competitiveness or a strong need for personal power may cause one to be prone to a competitive approach to negotiation.
- ✓ Answer to Question 3: A strong Type B person may find a collaborative approach naturally comfortable.
- ✓ Answer to Question 4: Key psychological and sociological factors that tend to enhance effective communication include good listening, accurate self-awareness, self-control, adaptation of approach, order, and presentation to meet the perception and cognitive style of one's counterpart.
- ✓ Answer to Question 5: Key factors tending to diminish effective communication and/or, depending upon their severity, tending to result in conflict and/or total breakdown include interrupting; rigidity in plan, approach, and style; excessive repetition; making assumptions; loss of control; offensive behavior or words; and differences in personality and cognitive style.
- ✓ Answer to Question 6: What is sometimes viewed as an offensive or difficult behavior is often merely a reflection of a personality comprised of components opposite to one's own. Abstraction and distraction to one are reflection and interrelating to another. While one responds to approaching deadlines, another sees no date or end. Annoying detail to one is the tangible substance of importance to another. What is justice to one is relative and subjective to another. We tend to expect others to be like us. We tend to take offense when someone does not act as we expect.

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- ✓ Answer to Question 7: You are likely dealing with either a harmonizer or a controller.
- ✓ Answer to Question 8: You are likely dealing with either a pragmatist or an action seeker.
- ✓ Answer to Question 9: Both the high roller and the street fighter—both out-of-control temperaments—may have the potential for losing big.
- ✓ Answer to Question 10: They both present a broad and theoretical approach; however, the harmonizer will be open-ended while the controller will exhibit resolve to close.
- ✓ Answer to Question 11: Sensing (S) and Intuiting (I).
- ✓ Answer to Question 12: Emotional intelligence.
- ✓ Answer to Question 13: Talk less and listen more.
- ✓ Answer to Question 14: The two basic rules for filtering are (1) to know your prejudices, biases, and tendencies and allow for them; and (2) listen and speak to the other in his or her language.
- ✓ Answer to Question 15: Some of the key differences include time orientation, formality, power distance, context, Type A personality behavior, sensing and intuiting preferences, individualism and collectivism, dress, the acceptance of alcohol, and gift giving.
- ✓ Answer to Question 16: You should come to *GRIP* with substantive gain you desire (*G*), relationship goals (*R*), face-saving goals for yourself (*I*), and process goals for the interaction (*P*).
- ✓ Answer to Question 17: Appropriateness, consistency, effectiveness, and special things.
- ✓ Answer to Question 18: You persuade by using common ground (*C*), reinforcing your position with facts and data (*R*), making an emotional connection (*E*), being empathetic (*E*), and keeping your credibility (*K*). Your best chance of persuading is when you argue in the other person's latitude of indifference.
- ✓ Answer to Question 19: Obviously all twenty steps are important and necessary; however, knowing your alternatives to a negotiated agreement is critical to knowing whether or not to negotiate at all!
- ✓ Answer to Question 20: No! As long as you are *NOT* stupid, your counterpart's assumption that you are will work to your advantage!

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- ✓ Answer to Question 21: We tend to ignore external causes and emphasize internal causes in attributing motives and traits to others.
- ✓ Answer to Question 22: Yes, both parts of the question are true.
- ✓ Answer to Question 23: Perhaps the two most important concepts to remember are that your personal power is the most critical component in negotiation and that the existence of power in others is largely dependent upon your perception of and acquiescence to it.
- ✓ Answer to Question 24: When the negotiation presents many and complex issues requiring much and differing expertise, the use of teams is likely to be beneficial—provided that group dynamics are effectively managed.
- ✓ Answer to Question 25: Your personal power comes from understanding yourself and using your interpersonal skills.

### **Potential Answers to Mini Negotiation Challenges in Exercises 1**

**Scenario 1:** I appreciate your dedication and hard work. I really don't like having to say this but I have a huge problem. I need to know why this assumption was used and exactly what impact it has on the result. It was my understanding that the analysis was to be premised on X.

[Note the "I" words expressing your feelings soften the impact and reduce the likelihood of retaliatory aggression or defensiveness.]

**Scenario 2:** I need to talk with [friend's name] about some personal matters in private. I hope you will not be offended or think me rude but we will have to go alone this time. [If you cannot bring yourself to be open about a possible future time, the response will be diplomatic without that phrase as well.]

**Scenario 3:** I'm sorry that we disagree. I checked and rechecked my data several times. I believe I am correct. I would like specific support for your position so that I can reevaluate yet again. I want what I think we all want—the correct decision.

[Notice the expression of your feelings along with respect for the other and the link to common goals.]



# Post Negotiation Evaluation

## PERFORMANCE COMPETENCIES FOR THIS CHAPTER

- To learn the indicia of a successful win-win negotiation
- To learn how to evaluate your negotiation effectiveness

**“When you reread a classic, you do not see more in the book than you did before; you see more in you than there was before.”**

*Clifton Fadiman*

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## Post Negotiation Evaluation

**“Only mediocre people are always at their best.”**

*Jean Giraudoux*

There is always room for improvement in our interpersonal skills and in our negotiation skills. The questionnaires provided in this chapter should be used as often as possible following your negotiation experiences, both formal and informal. Remember that everyday negotiations provide ample opportunity to experiment and to practice.

### ASSESSMENT TOOLS

As you assess yourself, decide which areas need your attention for further development. Characteristics of a successful win-win negotiation are provided in Box 1. Note which tactics and techniques did and did not work for you. Evaluate why you obtained the result you obtained. A post-negotiation evaluation questionnaire is provided in Exhibit 1. Try other tactics and techniques that seem to fit your personal style.

#### **Box 1 Indicia of a Successful Win-Win Negotiation**

- ✓ Both sides feel successful.
- ✓ Both sides are able to and intend to honor the agreement.
- ✓ In those cases that fail to conclude in agreement, both sides feel that the failure was the result of the issues and not the unreasonableness of or the tactics used by the other side.
- ✓ Neither side has any personal animosity toward the other side.
- ✓ Neither side fears any negative repercussion from the other side.
- ✓ Each side is amenable to dealing with the other in the future.

#### **EXHIBIT 1**

#### **Post-negotiation Evaluation Questionnaire**

1. Did the negotiation conclude in an agreement?
2. If the negotiation did not conclude in an agreement, was your decision to terminate efforts necessary or appropriate?
3. Did you terminate negotiations because it was not possible to resolve the matter within your acceptable range?
4. Were you remiss in not adapting to additional information or finding creative alternatives at the negotiating table?

## Post Negotiation Evaluation

5. Do you have an alternative that is more beneficial to you than the solution that was available to you at the time negotiations terminated or more beneficial to you than the agreement you made?
  6. Did negotiations terminate because of a communication difficulty or because of a genuine disagreement for which you could not find an acceptable mutual solution?
  7. If negotiations concluded in an agreement, did you resolve the matter reasonably close to your target?
  8. Was your prenegotiation preparation adequate to prepare you for the interaction?
  9. Did you adequately and accurately anticipate the other side's needs, strengths, and weaknesses?
  10. Did you accurately assess your own needs, strengths, and weaknesses?
  11. Did you set an optimistic enough target?
  12. Did you reach your target because you set it realistically and supported it well? Or did you reach your target because you set your goal too modestly?
  13. Were you surprised by any information?
  14. Did you make the first offer? Was that necessary?
  15. Was your pattern of concessions effective? Were the increments too large? Did you concede too often?
  16. Was the total volume of concessions you made roughly equal to or lower than the total volume of concessions made by the other side? If not, is there good reason?
  17. In your evaluation of concessions, was any significant difference between the parties' aggregate concessions a result only of the reasonableness of the parties' respective starting positions? Or could you have conceded less? Or did you do a particularly great job of withholding concessions?
  18. Did the members of the other side support the position that you accepted from them?
  19. What tactics did the other side employ?
  20. How well did you control your reactions to the other side's tactics?
  21. Which tactics did you employ?
  22. Which tactics were comfortable for you? Which ones worked best for you?
  23. What types of power affected you detrimentally?
  24. What types of power did you use effectively?
  25. What did you learn about your own personality and temperament?
  26. What did you learn about interacting with different temperaments and negotiating styles?
  27. Were both sides cooperative?
  28. Did either side employ any unfair, deceptive, or unethical tactics?
  29. Considering all of the circumstances, could you have done any better?
  30. What would you do differently, if you could redo this negotiation?
-

## CHECK YOUR PERSONAL EXCELLENCE PROGRESS (PEP)

### KEY POINT

You won't do anything extremely well, until you do it poorly several times!

You may use the questions in Exhibit 2 to check your progress at developing more effective negotiation skills. The statements are presented in general form for periodic use. You should, however, also use the personal excellence progress (PEP) evaluation following every significant negotiation, whether that interaction felt easy or difficult. Simply read the statements with the particular negotiation in mind for those evaluations.

### EXHIBIT 2

#### Personal Excellence Progress (PEP) Evaluation

Answer each question using the following scale:

1 = never, 2 = seldom, 3 = much, or half of the time, 4 = very often, 5 = always

1. I am aware of my typical behavioral patterns in interaction.
2. I maintain emotional stability during negotiation.
3. I believe that a mutual solution exists.
4. I notice behavioral cues from my counterpart that affect message meaning.
5. I adapt to the behavioral expectations of the situation and context.
6. I recognize information processing styles of my counterpart that differ from mine.
7. I resist any urge to view the negotiation as a contest.
8. I resist any urge to place time pressure on myself during negotiation.
9. I refrain from seeking personal credit for solutions.
10. I look for ways to share power with my counterpart.
11. I refrain from dominating, or power-over, tactics.
12. I believe that the end does not always justify the means.
13. My view of conflict is positive.
14. I look for constructive effects of conflict.
15. I analyze problems and conflicts with a systems perspective.
16. I am able to manage and sustain constructive conflict.
17. I think I know how my words and behavior are perceived.
18. I resist any urges to try to change the other person.
19. I focus my persuasive efforts toward the perceptions, opinions, and behavior of my counterpart.

## Post Negotiation Evaluation

20. I avoid negotiation only when the issue in conflict is unimportant, or emotions are too high, or the interaction is likely to produce more harm than benefit or no improvement over not negotiating.
21. I use accommodation when the relationship is more important than the substantive issues and collaboration fails.
22. I use collaboration as my first-choice approach.
23. I negotiate only with persons in authority to agree.
24. I maintain an open mind and flexibility during negotiations.
25. I negotiate only when I am prepared.
26. Prior to negotiation, I thoroughly analyze interests and goals of all parties.
27. I identify and address my fears prior to negotiation.
28. Prior to negotiation I identify and analyze power held by all parties.
29. I express my feelings with I statements.
30. I have no fear of appearing stupid.
31. I am an effective listener.
32. I am able to walk away from negotiations at the appropriate times.
33. I am honest and ethical in my negotiations.
34. When my counterpart seeks a competitive process, I negotiate the process prior to beginning negotiation on the issues.
35. I refrain from assuming what the other side wants.
36. I refrain from countering to unsupported positions.
37. I support my positions with reasoning, facts, and data.
38. I allow my counterpart time to evaluate, answer, and decide.
39. Prior to negotiation, I know my options and establish a walk-away point.
40. I summarize the status of negotiation progress and results.
41. I ensure that the agreement is put in writing as soon as possible.
42. I am able to empathize with the other parties.
43. I use only tactics that are comfortable for me.
44. My counterparts perceive me as tactful and diplomatic.

## Post Negotiation Evaluation

- 45. I am able to recognize when my argument will not be accepted.
- 46. I am able to find common ground.
- 47. I am able to reframe arguments to reach my counterpart's latitude of acceptance.
- 48. I am persuasive.

### Scoring:

|               |   |           |   |
|---------------|---|-----------|---|
| Perfect       | = | 250       | Keep up the great work!                                 |
| Excellent     | = | 225       | Keep up the good work. Focus on areas of lowest scores. |
| Very good     | = | 200       | Continue building your skills.                          |
| Good          | = | 175       | Continue building your skills.                          |
| Above average | = | 150–174   | Keep working!   |
| Wake-up Call  | = | Below 150 | Begin study and practice.                               |

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The PEP is intended to check your current attitudes, approach, and general interaction behavior, as well as your effectiveness in particular negotiation efforts. Pay close attention to areas that repeatedly show less-than-optimal ratings. Focus your efforts on improving in those areas.

### Performance Checklist

- ✓ There are six key indicia of a successful win-win negotiation. You may evaluate your negotiation results according to those measures.
- ✓ In this chapter, you have been provided with tools for assessing your negotiation conduct and personal effectiveness. Successful negotiation requires knowledge and practice. Studying the principles outlined in this book regarding human interaction and practicing effective communication are keys to becoming more effective in your negotiations.

### Key Terms, Phrases, and Concepts

Post-negotiation Evaluation Questionnaire

Personnel Excellence Progress (PEP) Evaluation

### Review Questions

Mark each of questions 1 through 4 as True (T) or False (F) and answer questions 5 through 10.

## Post Negotiation Evaluation

- T F 1. Failure to agree always means that the negotiation failed.
- T F 2. One sign of an unsuccessful negotiation is animosity on one or more sides.
- T F 3. A mutually beneficial agreement is likely to be honored.
- T F 4. Reaching your target always means you did things right.
5. What can you do to become more aware of your behavior?
  6. How can you practice to become more flexible?
  7. Name the three principal options available when confronted with something you do not like.
  8. Why is it futile to try to change the other person?
  9. Analyze whether you are afraid of appearing stupid in negotiation. What will you do with that fear?
  10. How do you plan to assess and monitor how others perceive you?

### Case 1

Emil is taking a course in conflict and negotiation. He has digested a great deal of information. As he lay falling asleep, he remembered a story his dearly departed mother had told him about when she left Czechoslovakia just before the Communist regime blocked it off for decades. His mother had lamented about having sold precious belongings for fractions of their worth and scraping up just enough money to reach America to start over penniless. Emil had known his parents as shrewd business people but he always thought they had been foolish to virtually give away their things. Now he could not help but wonder whether his parents were indeed smarter than he thought!

### Case Discussion Questions

1. How would you advise Emil on evaluating the success of his mother's negotiations to sell her belongings?
2. What powers and/or fears were likely at play during the negotiations?
3. Can you identify anything in the case that was considered non-negotiable?

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**Happy Negotiating !**

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