DRAFT COPY – SUBJECT TO CHANGE

Course Objectives

Success in business and beyond requires agreement and collaboration with other people. Whether you are a customer cutting a deal with a supplier, a potential co-investor in a start-up company, or a CEO seeking a strategic alliance, triumph depends on the capacity to negotiate and manage interdependencies.

Among other things, effectiveness at the bargaining table requires:

- The strategic skill to claim your fair share of the goods;
- An alacrity for creating value and executing deals others overlook;
- The sophistication to steer clear of the pitfalls that plague most bargainers;
- Insight into your own values, and the ethics that drive others' behaviors;
- The capacity to forge relationships with people whose backgrounds, expectations, and values differ from your own; and
- A willingness to reflect on and learn from your experience.

This course seeks to develop these skills and provide students with frameworks for analyzing negotiations at a more sophisticated level. We give you the opportunity to identify your strengths as a negotiator and to work on your weaknesses. The course will provide a conceptual framework to diagnose problems, promote agreement, and cut your losses where warranted. More importantly, this course is an opportunity for you to experiment with different techniques and to explore what does and what does not work for you at the bargaining table.

Course Format

Negotiation and conflict ultimately come down to behaviors—how a manager opens a potentially volatile conversation, how a mediator uncovers information, how a negotiator frames an offer or a concession. Practicing these behaviors, and understanding how other parties perceive and react to them, is essential to improving as a negotiator. This course provides continuing opportunities for hands-on practice and also provides feedback, discussion, and occasions for reflection.

Through role-play exercises, lecture, reading, and discussion, the course begins with basic dynamics in negotiation and adds complexity in stages, including multiple issues, multiple parties, agents, teams and coalitions. Some exercises involve numerical analyses; others revolve around qualitative conflicts. By the course's end, students should be able to confidently approach most any conflict or negotiation: analyzing its nature, understanding their own objectives, and plotting an approach that will give them the best shot at achieving their goals.

Academic Integrity

All academic activities and work that students conduct during their time at the School should reflect a commitment to intellectual integrity. Violating this principle is one of the most serious offenses a student can commit. Except where noted, you are expected to submit independent work—giving unauthorized assistance to another person on assignments, without the instructor's permission, is prohibited. Using unauthorized materials, study aids, or the work of another in order gain an unfair advantage is also

prohibited. So too is taking, circulating, or sharing of past material(s) without the instructor's permission. You are not permitted to use words, phrases or ideas that belong to another individual without properly citing the source. You can use ChatGPT to edit text that you write (i.e., as a copy editor) but you cannot use it to be the generator of the assignment you submit, except where noted (the one assignment for which you are asked to do this). Using any material portion of an assignment to fulfill the requirements of more than one course without the instructor's permission is also prohibited. If you have any questions about what is expected of you, please speak to Professor Mason.

Readings

All readings are optional and are intended to be an additional resource for students to use to further develop their base of knowledge and skill set. Students who complete the optional readings tend to get more out of the course because the readings reinforce and expand on what we learn in class. I make them optional because we do not spend class time discussing them.

The textbook I recommend is:
- Lewicki, Barry, and Saunders, *Negotiation, 8th Edition* (McGraw-Hill)

Other books I recommend are:
- Stone, Patton, Heen, & Fisher, *Difficult Conversations: How to Discuss What Matters Most* (Penguin)
- Cialdini, *Influence: The Psychology of Persuasion* (Harper)
- Shell, *Bargaining for Advantage* (Penguin)
- Carter, *Ask for More: 10 Questions to Negotiate Anything* (Simon & Schuster)

Grading

Attendance and participation (25% of your grade)
You are expected to attend all sessions. In addition, you are expected to come to class having prepared the negotiation case that was assigned for that particular session. If you cannot attend a specific class or expect to be late, please notify us of your absence by clicking [here](#).

Because many sessions revolve around role-plays in which partners are assigned in advance, an unexpected absence typically has negative effects on other students in the class. Accordingly, unexcused absences and/or absences without notification will result in a loss of participation points.

Participation includes both active, substantive involvement in role-play simulations and discussion and comments in class (quality is more important than quantity).

Assignments and Prep Sheets (35% of your grade)
Please upload all assignments to Canvas **in advance** of their deadline. More information about all of the assignments is available via the Canvas website. **All times are listed in EST**. All students are expected to do the following:

Online Assessment. Please complete the online survey by **Friday, December 29th at 11:59pm.** (Approximate completion time: 15 minutes).

Prep Sheets. Preparation for the role-play simulations is vital. You should read your role very carefully. Try to take on the perspective of your character and plan a coherent set of tactics. On **page 8** of this syllabus, you can find a list of cases for which I expect students to submit preparation sheets. For these particular negotiations, I ask that you upload a copy of your planning sheet to Canvas *prior to class*. For some of the simulations I will give you explicit instructions on the form your preparation sheet should take (e.g., excel spreadsheet, party map, etc.). For others, I leave it to you to decide how best to prepare.

Here are some matters that you might address in your preparation sheet:

- *Agenda.* Is there an order in which you prefer to discuss certain matters? Are there issues that you will wait for them to raise?
- *Questions.* What can you ask in order to figure out how far they can be pushed? What can you ask to figure out what they care most about?
- *Target.* What's the value of the deal you'd like to reach?
- *Resistance Point or Reservation Price.* What's the worst deal that you would accept rather than an impasse--walking away from the negotiation without a settlement?
- *Arguments.* What are some rationales or framings you will use? How will you persuade the other party?
- *Tactics.* What ploys or techniques would be appropriate in this situation?

Peer Video Feedback. This exercise will give you a chance to reflect on how you and others negotiate, to help a classmate develop his/her negotiation skills, and to develop your own. You will review the video of a classmate to whom you have been assigned for this specific exercise and provide some feedback and comments. After receiving the feedback, I encourage you to reflect on your performance in light of the feedback from your peer. The deliverable is a set of at least four comments, emailed to your assigned peer <u>and</u> uploaded to Canvas. The assignment is due by **Sunday, January 21st at 11:59 ET.** (<u>Approximate completion time</u>: 25 minutes).

Action Plan Document. Based on the feedback you have received and your experience with yourself, you should develop an action plan for self-development. Pick one behavior that you would like to change and describe how you are going to achieve this change using the **template provided**. There are two sections. Please upload your plan to Canvas no later than **Sunday, February 4th at 11:59 ET** (<u>Approximate total completion time</u>: 20 minutes).

"Score a Deal" Exercise. This assignment is designed to probe and solidify your understanding of the *multi-attribute value analysis (MAV)* approach for clarifying tradeoffs between qualitatively different issues in multi-issue negotiation settings. Please answer the four questions, using the Ames et al. "Scoring a Deal" handout as a guide. This assignment is due by **Sunday, February 17th at 11:59 ET**. Upload your responses to Canvas. (<u>Approximate completion time</u>: 45-60 minutes).

"Go Get a Deal" Negotiation Report (20% of your grade)

To encourage you to think about the many everyday opportunities you have to negotiate, and to improve your negotiation skills further, you are asked to go out and negotiate a deal. By **April 18th 11:59pm ET,** you must engage in a negotiation for a good or service and submit a written report. There are three rules for this assignment:

1. You must negotiate at least some portion of it in person or via zoom (i.e., face to face). You may not conduct the entire negotiation over the phone or email.
2. You may not tell the person you are negotiating with that this is for a class project until the negotiation is complete (after which you can decide whether or not you want to tell them this).
3. You must follow through with the transaction if you state you agree to the proposed deal terms (i.e., you must negotiate "in good faith").

For the assignment, you will submit an analysis of the negotiation that includes three sections: a planning section, a section where you describe and anlyze the interaction, and a post-negotiation reflection. The planning section should include your aspiration point, your reservation price, your BATNA, and your planned negotiation strategy (efforts to shape the process, to improve your BATNA, your planned persuasive moves, power moves, rapport-building moves, concession pattern, etc.). The second section (description of interaction and analysis) should describe the events of the negotiation and your assessment of the negotiation outcome, your perception of the strategies you used successfully and unsuccessfully, and your assessment of the strategies used by your counterparty. The post-negotiation section should explain what you learned from the negotiation, and what you would do differently in the future. The final paper should be 5-7 pages, double spaced, in 12pt font, with one-inch margins.

You will be graded on: 1) the thoroughness of your negotiation preparation, 2) the quality of your negotiation strategy (appropriateness and intention), 3) the rigor of you analysis and 4) the thoughtfulness of your post-negotiation analysis.

Honors Grade Assignment Menu (20% of your grade)

To qualify for an H grade you must demonstrate a commitment to excellence. In this course we ask students who are aspiring for an honors grade to complete additional assignments, and to do so by the deadline. Students who would like an "H" grade in the class need to select **four** assignments from the list below and submit them to Canvas before **April 24th, 11:59pm ET.** These assignments are not mandatory. Also, keep in mind that they are necessary, but not sufficient, to guarantee you an "H". Less than half of you can get H's so, if more than half of the class submits all four assignments, some students will get an HP+. Please note: **Under no circumstances** will I accept late submissions. Part of demonstrating that you are exceptional entails meeting deadlines no matter the circumstances. In the event of a sickness, death of a pet, etc., please reach out to Student Affairs and ask them to get me to make an exception. I am notoriously inflexible about this deadline and so it's worth being very clear with you about my expectations. Please also note that you are not allowed to use ChatGPT to generate responses that you then submit. You can use it to edit your responses, i.e., as a copy editor, but you cannot ask it to do your assignment for you.

- **Hardball Tactics Table.** Construct a table of "hardball" tactics based on the material in the two readings (uploaded to Canvas): 1) Lewicki et al (Chapter 2, pp 52-60) and (2) Fisher & Ury (Chapter 8). The table should have three columns: a column for the tactic name, a column with a description of what the tactic entails, and a column with a list of strategies one can implement to counter the hardball tactic. There must be at least five tactics listed in your table. I have students do this assignment not because I endorse them; in many cultures, these are considered inappropriate. I have you do this assignment because I want you to know about the tactic and I want you to strategize about how you would respond if someone were to use this tactic against you.

- **Phone Negotiation Worksheet.** To practice applying basic negotiation skills and to give you an opportunity to reflect on the role of agents in negotiations, you are asked to call a customer service representative (an agent employed by your phone carrier, cable/Internet service provider, credit card company, etc.) and attempt to negotiate a better deal. There are two requirements: the negotiation must happen over the phone, and you are not to reveal that you are calling as part of a class assignment. The deliverable for this assignment is the phone negotiation worksheet. Please note that the worksheet features pre- and post-negotiation sections. The former should obviously be completed prior to the negotiation, and the latter after the negotiation.

- **Negotiation Self-Development Plan.** Drawing on your individualized feedback and your action plan document, write a 3-page document that (1) identifies a negotiation-related behavior that you hope to change, (2) considers the root-cause of this behavior (i.e., why do you do it?), (3) articulates a SMART plan for adjusting that behavior. To accomplish this task, you must read "A Primer on Personal Development" which has been posted to Canvas, which provides greater detail about what constitutes a "SMART plan".

- **Strategy for Gracefully Disappointing Others.** It's one of the shortest words in the English language – in fact there are only two shorter – and yet many of us really struggle to use it. N-o. no. This assignment involves honing your ability to negotiate over and protect your ultimate limiting resource: your time. I ask that you reflect on ways to improve on the skill with which you gracefully disappoint other people, i.e., say 'no'. In particular, you will (1) identify settings where you struggle to tell people 'no', (2) reflect on why you have a difficult time asserting your personal boundaries (see the readings provided), (3) articulate three strategies you will implement in a bid to protect your time, and (4) specify which criteria you will use to judge your performance and when—at what future point—you will check-in with yourself regarding your progress.

- **Chat GPT – Personal Negotiation Coach.** For this assignment, you are required to create a ChatGPT account and pose five questions to the machine from a set I provide (see Canvas). For each question, you will (1) copy the machine's answer and (2) write a one- to two-paragraph summary that addresses the accuracy, generalizability, specificity, and general usefulness of the response.

Late Assignment Policy

If you cannot complete a prep document or an assignment by its deadline and you feel like you deserve an extension, please email Professor Mason with an extension request **in advance**. Good reasons include such things as: there was a hurricane in my home city, there was a death in the family, I had an inflamed appendix that required surgery, and so forth. "I have a work deadline," is not a good reason as your peers have similar constraints and they are making the tradeoffs required to submit assignments on time. Happy to grant extensions as needed provided you have a legitimate reason for the request.

If you're a few minutes late with your deliverable—if you upload it within ten minutes of the deadline—we will accept it and consider it on time. Let's be honest, Canvas is not always reliable. If for some reason the system is down, please just email the deliverable to the course TA (DBaltiansky26@gsb.columbia.edu) and/or me.

Note the one exception to this late policy is the Optional Menu Assignments. I do not give extensions on this deliverable because "H" grades are reserved for students who demonstrate they are *exceptional*. If you feel that your particular situation should be considered an exception, please speak to OSA and have them contact me directly with a request to grant you more time.

Course Development and Research

Because we want to encourage experimentation, we do not grade based on your negotiation outcomes. Yet, we do carefully record the outcomes and, for some exercises, your answers to questions in the exercise materials. Sometimes we will show the overall patterns in this data to demonstrate points about negotiation principles. The data are also used in a continual process of refining exercises and developing new ones. Just as prior students have contributed to your learning experience by contributing this data, you will be contributing to future classes by answering questions about your outcome and tactics in the course of the exercises. Identifying information is removed from the datasets after the term ends, so the records become anonymous at this point. At times in the past, faculty have drawn on these "anonymized" datasets reflecting years of classes for statistical analyses related to research hypotheses concerning negotiation dynamics. If you prefer that any records from your participation in class be deleted from datasets if they are used for any research purpose, please tell the instructors or teaching assistant and your record will be deleted after the class is complete.

Ground Rules

These are some ground rules for our course and the role-play exercises:

1. You are expected to be prepared for all negotiation exercises.
2. You are expected to put your laptop away during the lecture and debrief (unless you are remote).
3. You should not show your confidential role instructions to other parties during a negotiation, nor should you read them or quote them.
4. You should "ad lib" in these exercises to provide rationales and explanations for your character's preferences—say things you think the character would say. You should adopt the given payoff tables as reflecting your preferences. You should not make up facts that materially change the power distribution of the exercise.
5. It is tempting sometimes to promise certain resources from one's organization to "sweeten the deal" for your counterpart. Don't do so, unless role information suggests that these resources exist and that you have discretion over them.
6. Please wait until the class debrief to reveal your preferences/payout table.

Overview of Course Sessions

Sessions	Date (Time)
S1: Introduction & Bargaining Zone	Saturday, January 6th, 8:30am
S2: Value Claiming and Peer Feedback	Friday, January 19th, 3:45pm
S3: Interest-Based Bargaining	Saturday, January 20th, 8:30am
S4: Creating & Claiming Value	Friday, February 2nd, 8:30am
S5: Additional Multi-Issue Approaches	Saturday, February 3rd, 12:30pm
S6: Trust and Cooperation	Saturday, February 17th, 3:45pm
S7: Team on Team	Saturday, March 2nd, 12:30pm
S8: Princpals and Agents	Friday, March 8th, 3:45pm
S9: Introduction to Coalitions	Saturday, March 9th, 12:30pm
S10: Multi-Party Negotiations	Friday, April 5th, 12:30pm
S11: Multi-Party, Multi-Issue Negotiations	Saturday, April 6th, 3:45pm
S12: Negotiations in Social Context, In Conclusion	Friday, April 19th, 3:45pm

Summary of Assignments and Deadlines

(All times are in EST.)

Due Date	Item
Friday, December 29, 11:59pm	Self-Assessment Survey
Saturday, January 20th, 8:30am	Preparation sheet for *Texoil* case
Sunday, January 21st, 11:59pm	Peer-Video Feedback
Friday, February 2nd, 8:30am	Preparation sheet for *Berekeley* case
Saturday, February 3rd, 12:30pm	Deal model for *Moms* case
Sunday, February 4th, 11:59pm	*Action Plan* Document
Sunday, February 17th, 11:59pm	*Score a Deal* Exercise
Saturday, March 2nd, 12:30pm	Preparation sheet for *Teams* case
Friday, March 8th, 3:45pm	Preparation sheet for *Hampstead* case
Friday, April 5th, 12:30pm	Preparation sheet for *Tompkins Bowden* case
Saturday, April 6th, 3:45pm	Preparation sheet for *Harborco* case
Thursday, April 18th, 11:59pm	"Go Get a Deal" report
Wednesday, April 24th, 11:59pm	Honors Menu Assignments (must submit 4 of 5)

Session Details

Session 1: Introduction & Bargaining Zone

Optional Readings: Lewicki et al., "The Nature of Negotiation", Ch. 1
Bazerman, "Putting Negotiation Traning to Work" (Canvas)

Assignment: None

Session 2: Value Claiming and Peer Feedback

Optional Readings: Lewicki et al., "Strategy and Tactics of Distributive Bargaining", Ch. 2
Malhotra, "Accept or Reject" (Canvas)

Assignment: Preparation sheet for *Texoil* case (due S3)
Peer-Video Feedback (due Jan 21)

Session 3: Interest-Based Bargaining & Your Style

Optional Readings: Fisher et al., "Focus on Interests Not Positions", Ch. 3 (Canvas)
Putnam, "Asking the Right Questions" (Canvas)

Assignment: Peer-Video Feedback (due Jan 21)
Preparation sheet for *Berkeley* case (due S4)

Session 4: Creating & Claiming Value & Your Style

Optional Readings: Lewicki et al., "Strategy and Tactics of Integrative Negotiation", Ch. 3
Lewicki et al., "Individual Differences: Personality and Abilities", Ch. 15
Ames et al., "Personal Development Primer"

Assignment: *Action Plan* document (due Feb 4th)
Preparation model for *Moms.com* case (due S5)

Session 5: Additional Multi-Issue Approaches

Optional Readings: Lewicki et al., "Negotiation: Strategy and Planning", Ch. 4
Multiple-Equivalent-Simultaneous Offers, Medvec & Galinsky (Canvas)
Post-Settlement Settlement (Canvas)

Assignment: *Action Plan* document (due Feb 4th)

Session 6: Trust and Cooperation

Optional Readings: Lewicki, "Relationships in Negotiation", Ch. 9

Assignment: Preparation sheet for *BrainSnap* case
Score a Deal Exercise (due Feb 17th)

Session &7: Negotiating in Teams

Optional Readings: Lewicki et al., "Multiple Parties, Groups & Teams", Ch. 13

Assignment: Preparation sheet for *Hampstead* case

Session 8: Principals & their Agents

Optional Readings: Lewicki et al., "Agents, Constituencies, Audiences," Ch. 11
Shell, "Bargaining with the Devil: Ethics in Negotiations" (Canvas)

Assignment: *Go Get A Deal* report (due April 18th)

Session 9: Introduction to Coalitions

Optional Readings: Lewicki et al., "Coalitions", Ch. 12

Assignment: Preparation sheet for *Tompkins Bowden* case
Go Get A Deal report (due April 18th)

Session 10: Multi-Party Negotiations

Optional Readings: Lax & Sebanius "Get the Parties Right", Ch 4 (Canvas)

Assignment: Preparation sheet for *Harborco* case

Go Get A Deal report (due April 18th)

Session 11: Multi-Party, Multi-Issue Negotiations

Optional Readings: Watkins, "Building Coalitions", Ch. 6 (uploaded to Canvas)

Assignment: *Go Get A Deal* report (due April 18th)
                     Optional Final Project (due April 24th)

Session 12: In Conclusion

Optional Readings: Lewicki et al., "Best practices in Negotiations", Ch 20

Assignment: Optional Final Project (due April 24th)

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