

## **Negotiation, Persuasion & Social Influence: Theory and Practice**

WWS 519a/b  
Syllabus  
Fall Term, 2006-2007

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### **Course Objectives**

The purpose of this course is to provide a set of conceptual frameworks and practical tools to enable you to become more effective negotiators. In the current context of complex, multi-faceted organizations and ad hoc projects and teams we must gain agreement and cooperation from others and persuade and influence them to act in order to achieve our goals--in short, we must negotiate. Without methods for organizing our thinking and approach, our results can be inconsistent and haphazard. Where stakes are high, the costs of precarious or unsustainable outcomes can be enormous, and the alternatives to negotiation devastating. Practitioners and scholars of negotiation have developed approaches for framing, analyzing, and engaging in negotiation that can help achieve better and more sustainable outcomes and mitigate destructive alternatives. This course provides an introduction to this growing body of theory and practice with a specific emphasis on making them practical and accessible.

The ability to negotiate successfully rests on a combination of analytical and interpersonal skills. In this course you will build up a toolbox of analytical and process frameworks, strategies, and skills that you can use to better analyze negotiations, prepare more systematically and engage more strategically. Through participation in negotiation simulations, you will have the opportunity to exercise your powers of communication and persuasion, to experiment with a variety of negotiation tactics and strategies, and to assess, reflect upon, and expand your repertoire and toolbox of negotiation skills. Through analysis of case studies and discussion we will apply the lessons learned to ongoing, real-world negotiations.

Please note: This syllabus draws on the "Negotiation, Persuasion and Social Influence: Theory and Practice" course syllabus developed by Rebecca Wolfe, PhD. for the Princeton University, Woodrow Wilson School, Fall Term 2005-2006.

## Content and Organization

The course builds cumulatively from simple negotiations to those of greater complexity—that is, starting with two-party, single-issue cases and building towards multi-party, multi-issue negotiations that evolve over time. Structured negotiation exercises are used to emphasize specific analytic points and essential skills. Cases and readings serve to integrate the analytic points as well as to develop a deeper understanding about more complex real-world negotiations. About two hours of each week's class time and much of the work done between meetings will be devoted largely to in-class negotiation exercises and to discussions of those exercises. Our experience is that students learn the most from their personal role-playing experiences of negotiating, and from opportunities to reflect upon and discuss these experiences in detailed debriefing sessions. This experiential learning is supplemented by a mix of interactive lectures, readings and videos.

## Grading

### Participation (50%)

- **Attendance** at Exercises (1 % for every exercise →  $10 \times 1 = 10\%$ ).
- **Reflective pieces.** Pick 5 exercises (not including the intro exercise) – Up to 3 pages reflection on your participation in each exercise. How you prepared, what you did, how you did, tools used, tools learned, connections to readings – 40%. In each case, due the class after the exercise.
- Extraordinary class participation may boost borderline cases.

### Toolkit (20%)

Build up over the course. No more than 8 pages. (What will help you build an approach and a process tree for any particular negotiation? What analysis? What tools? What strategies? What kinds of communication? Etc.) Due 4 p.m. Friday, Dec. 15 (both hard copies and electronic copies by email).

### Final paper (30%)

Pick a current situation in which a complex negotiation between public actors (public sector, government, NGOs, businesses, multilaterals etc.) is underway or called for. Pick a role (examples: deputy foreign minister of a country; program officer of an NGO; director of a department, and so on). Write an extensive briefing and recommendation for that person/role/office. Analyze the goals, interests, alternatives, and options of the party you are advising as well as your summary of the apparent goals, interests, alternatives, and options of other parties involved (directly or in positions of influence). Write a

detailed action recommendation for the person/role/office you are advising, with consideration, as necessary, of overall negotiation strategy, opening moves, sequencing and coalition-building, strategic uses of information, issues of communication and relationship, use of joint problem-solving, use of third parties, issue linkages, potential concessions, possible commitments, use of the media, process options (participatory social movement-type processes, one-on-one negotiations between representatives, second-track meetings, etc.), and so on. Make sure you acknowledge existing efforts, if any, and make clear how what you are recommending will add to those. Your advice should include recommendations for short-term objectives that will pave the way for design and implementation of next steps that are directed at long-term or final goals. 12-18 pages double-spaced (15 pages would be ideal!). Due 4 p.m. Wednesday, January 17, 2007.

## Readings and Schedule

### Book:

Fisher, R., Ury, W., & Patton, B., Getting to YES: Negotiating Agreement Without Giving In, Penguin, 1991.

### Week 1

September 18/19: Introduction & Overview

Exercise: Oil Pricing

Readings:

Allred, K. "The High Cost of Low Trust" HBS Publication: N0406A (read after class)

Bohnet, I. "The Payoff of Trust." HBS Publication: N0407D (read after class)

Wheeler, M. "Presence of Mind," HBS Publication #9-903-009 (read after class)

### Week 2

September 25/26: Negotiation Styles and Defining Success

Exercise: Easy's Garage

Readings:

Raiffa, H. (1982) "Elmtree House," chapter 2, The Art and Science of Negotiation, Harvard University Press, 1982, pp.33-43.

Wheeler, M. "Negotiation Analysis: An Introduction," HBS Publication #9-801-156

Fisher, Ury & Patton, Getting to YES

### Week 3

#### October 2/3: Interests and Needs: Expanding the Notion of Interests

Exercise: Seoul Food in Urbana

Readings:

Fisher and Ury, Getting to Yes, Penguin 1991 (finish)

Herbert C. Kelman, "Informal Mediation by the Scholar/Practitioner," *Mediation in International Relations: Multiple Approaches to Conflict Management*, Jacob Bercovitch and Jeffrey Rubin ed., 1992, St. Martin's Press.

Harold Saunders, "Sustained Dialogue in Managing Intractable Conflict," *Negotiation Journal*, Vol. 19, No.1, Jan 2003.

Shapiro, Daniel, "Teaching Students How to Use Emotions as They Negotiate," *Negotiation Journal*, Vol. 22, No. 1, January 2006.

### Week 4

#### October 9/10: Systematic Preparation, Planning and Creating Value

Exercise: Diego Primadonna

Readings:

Allred, K., "Distinguishing Best and Strategic Practices: A Framework for Managing the Dilemma between Claiming and Creating Value," *Negotiation Journal*, Oct. 2000, pp. 387-397.

Fisher, R. & Ertel, D. Chapters 3-6, Getting Ready to Negotiate: The Getting to YES Workbook, Penguin, 1995. pp. 21-75. (skim)

Lax, D. and Sebenius, J. "Interests: The Measure of Negotiation," chapter 4, and "Creating Value or Where Do Joint Gains Really Come From?" The Manager as Negotiator, The Free Press, 1986, pp.63-116.

Raiffa, H., "Ampo versus City," chapter 10, and "Tradeoffs and Concessions," chapter 11, The Art and Science of Negotiation, Harvard University Press, 1982, pp.133-165.

### Week 5

#### October 16/17: Contracts and Relationships

Exercise: ENCO

Readings:

Salacuse, "A Case of Extradeal Renegotiation: Enron's Dabhol Project in India" (from Salacuse The Global Negotiator, 2003, Palgrave-MacMillan).

Fortgang, Lax, Sebenius Negotiating the Spirit of the Deal (HBR Onpoint Article; Product Number 3051, 13 p.

McGinn, K (2004) For Better or Worse: How Relationships Affect Negotiations. HBS **Product Number:** N0411A

Lagace, Martha "The Emerging Art of Negotiation" <http://hbswk.hbs.edu/item/1517.html>

## Week 6

October 23/24: *Strategic Conduct: Maximizing Outcomes and Building Relationships*

Exercise: The Powerscreen Problem

Readings:

Bazerman, M & Gillepsie, J. "Betting on the Future: Dealing with Contingent Contracts."

HBS Publication: 99501

Fisher, R. & Ertel, D. Chapters 7-9, Getting Ready to Negotiate: The Getting to YES Workbook, Penguin, 1995. pp. 76-106. (skim)

Lax, D. and Sebenius, J. "Claiming Value," chapter 6, The Manager as Negotiator, The Free Press, 1986, pp.117-153.

Raiffa, H., "Risk Sharing and Insecure Contracts," chapter 13, The Art and Science of Negotiation, Harvard University Press, 1982, pp.187-204.

Video: The Hacker Star Negotiation", from the Program On Negotiation, Cambridge, MA.

## Week 7

November 6/7: *Communication and Strategy*

Exercise: Kaotian Crisis

Readings:

Schelling, "The Retarded Science of International Strategy" (from Schelling The Strategy of Conflict, Harvard University Press)

McMillan "Using Information Strategically" (from McMillan Games, Strategies, and Managers, 1992, Oxford University Press)

Sebenius "Sequencing to Build Coalitions: With Whom Should I Talk First?" (from Zeckhauser, Keeney and Sebenius (eds.) Wise Choices 1996, Harvard Business School Press)

Sebenius, J. and Hulse, R. "Charlene Barshefsky (A) and (B)."  
[http://www.pon.org/catalog/product\\_info.php?products\\_id=325](http://www.pon.org/catalog/product_info.php?products_id=325)

## Week 8

November 13/14: *Internal-External Negotiations/Agents*

Exercise: Edgewood Electric

Readings:

Cutcher-Gershenfeld, J. and Watkins, M. "Toward a Theory of Representation in Negotiation," Negotiating on Behalf of Others, Mnookin, R.H. and Susskind, L.E. (Eds.) Sage Publications, Inc. 1999, pp. 23-51.

Lax, D. & Sebenius, J., "Agents and Ratification," chapter 15 and "The Manager Is Always In The Middle," chapter 17, The Manager as Negotiator, New York: Free Press, 1986, pp. 306-313 and 339-362.

Putnam, R., "Diplomacy and Domestic Politics: The Logic of Two-Level Games," *International Organization*, Vol. 42, Issue 3, MIT Press, summer 1988, pp. 427-460.

## Week 9

### November 20/21: Cross-cultural Negotiation

Exercise: Alpha-Beta

Readings

Kahane, D. (2003) "Dispute Resolution and the Politics of Cultural Generalization," *Negotiation Journal*, pp. 5-27.

Sebenius, J. "The Hidden Challenge of Cross-Border Negotiations" HBS Publication: R0203F

Morris, M. (2005). "When Culture Counts—and When it Doesn't," HBS Publication: N0506D.

## Week 10

### November 27/28: Multi-Party Complex Negotiations

Exercise: Harboco

Readings:

Sebenius, J. "Mapping Backwards: Negotiating the Right Sequence," HBS Publication #N0406B

Raiffa, H. (1982) "Coalition Analysis " chapter 17, The Art and Science of Negotiation, Harvard University Press, 1982, pp.257-274.

Watkins, M. and Rosegrant, S., "Sources of Power in Coalition Building," *Negotiation Journal*, Jan. 1996, pp. 47-68.

## Week 11

### December 4/5: Ethics and Personal Values

Exercise: Allies in Alexia

Readings:

Cohen, J. "The Ethics of Respect in Negotiation," *Negotiation Journal*, April 2002, pp. 115-120

Lewicki et al. "Ethics in Negotiation," Chapter 7, Essentials of Negotiation, 2nd Edition. Irwin/McGraw Hill, 2001

Week 12

December 11/12: MOVIE: *In the Shadow of the City*

Readings:

Mancini-Griffoli, Deborah and Andre Picot Humanitarian Negotiation, Published by Centre for Humanitarian Dialogue, 114 rue de Lausanne, Geneva, 1202, Switzerland. Published 2004. Parts 2 and 3.

**Negotiation, Persuasion & Social Influence: Theory and Practice**  
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*Reading list*

*Required text*

Fisher, R., Ury, W., & Patton, B., Getting to YES: Negotiating Agreement Without Giving In, Penguin, 1991

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Raiffa, H., The Art and Science of Negotiation, Harvard University Press, 1982,

**Required readings (in order of use)**

- Allred, K. “The High Cost of Low Trust” HBS Publication: [N0406A](#) (read after class)
- Bohnet, I. “The Payoff of Trust.” HBS Publication: [N0407D](#) (read after class)
- Wheeler, M. “Presence of Mind,” HBS Publication #9-903-009 (read after class)
- Raiffa, H. (1982) “Elmtree House,” chapter 2, The Art and Science of Negotiation, Harvard University Press, 1982, pp.33-43.
- Wheeler, M. “Negotiation Analysis: An Introduction,” HBS Publication #9-801-156
- Fisher, Ury & Patton, Getting to YES
- Herbert C. Kelman, “Informal Mediation by the Scholar/Practitioner,” *Mediation in International Relations: Multiple Approaches to Conflict Management*, Jacob Bercovitch and Jeffrey Rubin ed., 1992, St. Martin’s Press.
- Harold Saunders, “Sustained Dialogue in Managing Intractable Conflict,” *Negotiation Journal*, Vol. 19, No.1, Jan 2003.
- Shapiro, Daniel, “Teaching Students How to Use Emotions as They Negotiate,” *Negotiation Journal*, Vol. 22, No. 1, January 2006.
- Allred, K., “Distinguishing Best and Strategic Practices: A Framework for Managing the Dilemma between Claiming and Creating Value,” *Negotiation Journal*, Oct. 2000, pp. 387-397.
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- Salacuse, “A Case of Extrajudicial Renegotiation: Enron’s Dabhol Project in India” (from Salacuse The Global Negotiator, 2003, Palgrave-MacMillan).
- Fortgang, Lax, Sebenius Negotiating the Spirit of the Deal (HBR Onpoint Article; Product Number 3051, 13 p.
- McGinn, K (2004) For Better or Worse: How Relationships Affect Negotiations. HBS **Product Number:** N0411A
- Lagace, Martha “The Emerging Art of Negotiation” <http://hbswk.hbs.edu/item/1517.html>
- Bazerman, M & Gillepsie, J. “Betting on the Future: Dealing with Contingent Contracts.” HBS Publication: 99501
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- McMillan “Using Information Strategically” (from McMillan Games, Strategies, and Managers, 1992, Oxford University Press)
- Sebenius “Sequencing to Build Coalitions: With Whom Should I Talk First?” (from Zeckhauser, Keeney and Sebenius (eds.) Wise Choices 1996, Harvard Business School Press)
- Sebenius, J. and Hulse, R. “Charlene Barshefsky (A) and (B).” [http://www.pon.org/catalog/product\\_info.php?products\\_id=325](http://www.pon.org/catalog/product_info.php?products_id=325)
- Cutcher-Gershenfeld, J. and Watkins, M. “Toward a Theory of Representation in Negotiation,” Negotiating on Behalf of Others, Mnookin, R.H. and Susskind, L.E. (Eds.) Sage Publications, Inc. 1999, pp. 23-51.
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- Putnam, R., “Diplomacy and Domestic Politics: The Logic of Two-Level Games,” *International Organization*, Vol. 42, Issue 3, MIT Press, summer 1988, pp. 427-460.
- Kahane, D. (2003) “Dispute Resolution and the Politics of Cultural Generalization,” *Negotiation Journal*, pp. 5-27.
- Sebenius, J. “The Hidden Challenge of Cross-Border Negotiations” HBS Publication: R0203F
- Morris, M. (2005). “When Culture Counts—and When it Doesn’t,” HBS Publication: N0506D.

- Sebenius, J. "Mapping Backwards: Negotiating the Right Sequence," HBS Publication #N0406B
- Raiffa, H. (1982) "Coalition Analysis " chapter 17, The Art and Science of Negotiation, Harvard University Press, 1982, pp.257-274.
- Watkins, M. and Rosegrant, S., "Sources of Power in Coalition Building," *Negotiation Journal*, Jan. 1996, pp. 47-68.
- Cohen, J. "The Ethics of Respect in Negotiation," Negotiation Journal, April 2002, pp. 115-120
- Lewicki et al. "Ethics in Negotiation," Chapter 7, Essentials of Negotiation, 2nd Edition. Irwin/McGraw Hill, 2001
- Mancini-Griffoli, Deborah and Andre Picot Humanitarian Negotiation, Published by Centre for Humanitarian Dialogue, 114 rue de Lausanne, Geneva, 1202, Switzerland. Published 2004. Parts 2 and 3.

### Some additional suggestions

#### Books

- Arrow, Kenneth et al. Barriers to Conflict Resolution. New York: W.W. Norton, 1995.
- Breslin and Rubin (eds.) Negotiation Theory and Practice 1991, The Program on Negotiation at Harvard Law School.
- Holbrooke To End a War, Modern Library, 1999.
- McMillan Games, Strategies, and Managers ,1992, Oxford University Press.
- Mitchell Making Peace, University of California Press, 2001
- Ross, Dennis, The Missing Peace. Farrar, Straus, and Giroux. 2004.
- Salacuse The Global Negotiator, 2003, Palgrave-MacMillan.
- Schelling The Strategy of Conflict. Harvard University Press
- Stone, D., Patton, B., and Heen, S., Difficult Conversations, Penguin, 2000.
- Thompson, Leigh The Mind and Heart of the Negotiator, Prentice Hall, 2004.
- Ury, W., Getting Past No, Bantam Books, 1993.
- Watkins and Rosegrant Breakthrough International Negotiation Jossey-Bass, 2001.
- York, H. Y. Making Weapons, Talking Peace: A Physicist's Odyssey from Hiroshima to Geneva. Basic Books. 1987.
- Young, H. Peyton Negotiation Analysis University of Michigan Press. 1992.
- Zartman, William I. et al. The 50 Percent Solution: How to Bargain Successfully with Hijackers, Strikers, Bosses, Oil Magnates, Arabs, Russians, and Other Worthy Opponents. New Haven: Yale University Press, 1987. [I'm not sure the citation is correct on this]
- Zeckhauser, Keeney and Sebenius (eds.) Wise Choices 1996, Harvard Business School Press.