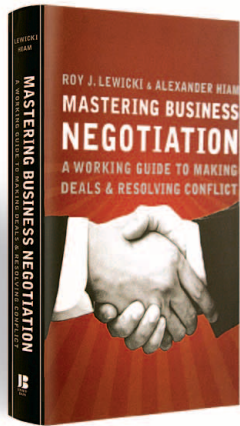




Executive Book Summaries®

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By Roy J. Lewicki and
Alexander Hiam

A Working Guide to Making Deals and Resolving Conflict

MASTERING BUSINESS NEGOTIATION

THE SUMMARY IN BRIEF

Mastering Business Negotiation is a handy resource for any leader or manager who needs practical strategies and ideas when conducting business negotiations. The authors — one a professor of Management and Human Resources at Ohio State University, the other a principal of a firm that specializes in training for leadership, conflict resolution and business strategy — base their conclusions on solid research and their many years of experience in the field. With this book, they have reduced the huge volume of available information into an easily accessible resource for busy executives who need to prepare for everyday negotiations as well as for more complicated situations.

The authors contend that the basic skills and techniques of what they call “the master negotiator” are essential for resolving conflicts, handling difficult conversations, protecting oneself against a competitor and managing good business deals. Their techniques and suggestions cover negotiating from a variety of perspectives and parameters, from simple to complex. Many are based on the importance of the relationship between the negotiating parties and the respective levels of importance they place on the outcome. Specific tactics used during negotiations are detailed, such as collaboration, compromise, how and when to divulge true intentions, how to spot and use deceptions, and others. Invaluable for business executives, the book is also useful for more informal day-to-day negotiations on the job such as selling, buying and team building.

In this summary you will learn how to:

- ✓ *Understand the game so you can better control what happens.*
- ✓ *Predict the sequence of negotiation activities.*
- ✓ *Identify the strategies and tactics of other players in the game.*
- ✓ *Apply the rules of the game that will lead to success.*

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MASTERING BUSINESS NEGOTIATION

by Roy J. Lewicki and Alexander Hiam

— THE COMPLETE SUMMARY

Negotiating Effectively

You may wonder if negotiation is different from bargaining or haggling or from broader processes of conflict management and conflict resolution. The answer is that these are, at best, different flavors of the same thing.

Negotiation is the proper term to describe this process, while bargaining and haggling are often used to describe the more competitive dynamics of the process. *Conflict management* and *conflict resolution* encompass a broader set of processes that may include negotiation and the involvement of third parties such as mediators and arbitrators. But the basic skills and techniques of the master negotiator outlined in this book are the key to resolving conflicts, handling difficult conversations, protecting oneself against a competitive adversary and managing good business deals.

They also help immensely with a variety of more informal day-to-day negotiations on the job: selling, buying, team building, product development, project management, hiring, correcting poor performance and much more.

Negotiation is the master practice that allows you to move in and out of business situations with confidence and success. ■

The Negotiation Imperative

Negotiating is a bit like breathing. You don't have to do it, but the alternatives aren't very attractive. Negotiation is the daily give-and-take of social interactions. Once your eyes and ears are tuned to the language of negotiation, you realize that everybody negotiates constantly — all day long.

Is negotiation as prevalent in business as in life in general? What's true at home and among friends is even truer at work. We work in ever more interdependent ways. Nobody can accomplish anything alone, which means we often help each other at work — and just as often get in each other's way or run into conflicts and problems.

That's why the business that negotiates better generally grows and prospers faster than others. And that's why individuals who master negotiations are rated high in emotional intelligence by their peers, tend to be promoted more rapidly, are more productive and emerge as natural leaders. Whether it's sales, customer service, engineering, management or any other area of business, negotiation

skills play a surprisingly large role in career success.

This, then, is the negotiation imperative: *Recognize the many times each day you have to negotiate and influence others. In doing so, treat these as opportunities to advance your personal goals, help your business prosper, and build stronger supportive relationships in a widening business and professional network.* ■

For additional information on the negotiation imperative, go to: <http://my.summary.com>

The Flexibility of the Master Negotiator

Style flexibility is one of the hallmarks of the master negotiator. To master every negotiating situation and resolve varied conflicts, you need to adjust your approach to each. This is a little like dressing for the correct sport before you go onto the playing field. Don't

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Alexander Hiam is a principal of Insights for Training and Development, a firm that provides leadership, conflict-management and negotiation programs and materials to managers in business and government.

This is the third book that Lewicki and Hiam have co-authored; the others are *Think Before You Speak* and *The Fast Forward MBA in Negotiation and Deal Making*.

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The Flexibility of the Master Negotiator

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show up in shin guards and cleats for a tennis tournament. But do make sure you know how to play both tennis and soccer well enough that you can win either, depending on which you find yourself playing!

Athletes may not be able to switch games easily and still be the best at both, but master negotiators should be able to. That's because we're playing the bigger negotiating game, and it sometimes requires us to suit up for one type of negotiation and other times another. Getting ready for negotiation is more like staying in shape to play either tennis or soccer; although there may be some difference in the unique skills, both require a strong degree of basic athletic conditioning.

Choosing a Negotiating Strategy

By considering the relative importance of both outcome and relationship, you are able to adapt your game to each negotiating situation. Untrained negotiators, and those who have taken a simplistic course in competitive tactics, generally use the same approach in every conflict situation. Yet each deal is different and each opponent may be different; you will get better results by flexing your style to suit the situation.

To choose the right strategy, you need to address these two important factors: the outcome and the relationship. When considering the outcome, you need to ask yourself what you will win or lose on the substantive issues in negotiation. When considering the relationship, you must ask how will the negotiation process, and the specific outcome settlement, affect your relations with the other player now and in the future?

The following strategies are based on varying degrees of concern for the relationship and for the outcome:

- **Avoiding (lose-lose)** — The priorities for both the relationship and the outcome are low. Neither aspect is important enough for you to pursue the conflict further.
- **Accommodating (lose to win)** — Importance of relationship is high, importance of outcome is low.
- **Competing (win-lose)** — Importance of outcome is high, importance of relationship is low.
- **Collaborating (win-win)** — Importance of outcome and relationship is high.
- **Compromising (split the difference)** — A combination approach used in a variety of situations. ■

Getting Ready to Negotiate

It can be helpful to put the information gained thus far into a structured analytical framework. The following method is recommended for complex or high-impact

negotiations. Allow plenty of time for this process. As you go through the analysis steps, be sure you thoroughly understand your strengths and weaknesses at each stage. This will help you make convincing arguments for yourself or against the other party.

Step 1: Define the issues and goals. Analyze the conflict situation from your own point of view. Look at the issues and decide which are major issues for you and which are minor.

Step 2: Assemble the issues, and define the agenda. List all issues in the order of their importance. This should be relatively easy because of the work you did on prioritizing goals.

Step 3: Analyze the other party. Although it may be difficult to obtain information on the other party, researching the other side is vital to planning a good strategy.

Step 4: Define the underlying interests. To define the interests and needs that underlie the issues you specified, remember the following “why” questions: Why do you want this item or goal? Why is it important to you?

Step 5: Consult with others. Unless this is a simple negotiation, other people will probably be involved. For example, if you are negotiating a bank loan, the loan officer probably has to clear it with higher-ups.

Step 6: Set goals for the process and outcome. Be sure you have a clear picture of your preferred schedule, site (location), time frame, who will be involved and what will happen if negotiations fail.

Step 7: Identify your own limits. It is very important to know these. These will arise from having a clear picture of your goals and their priorities, your bargaining range points, and your alternatives or BATNA (best alternative to a negotiated agreement).

Step 8: Develop supporting arguments. Once you know your goals and preferences, think about how best to provide supporting arguments for those goals. You will have accumulated many of these during your research. ■

The Art of the Master Competitor

Competition is the strategy most of us associate with negotiation and deal-making. It is the classic bargaining or haggling style used in open-air markets throughout much of the world; it also rules in many boardroom negotiations.

The Impact of Competition on Relationships

It's natural to use competitive negotiating if the relationship with the other party does not matter a great deal or you simply don't need to worry about the other party because you know this person can take care of

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The Art of the Master Competitor

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himself or herself. For example:

- This may be a one-time negotiation with no future relationship (you are buying a coffee table at a garage sale, for example).
- The future relationship may not be important.
- The relationship exists but was poor to begin with.
- The other party likes to negotiate hard and views it as a challenging game.
- The other party has a reputation for hard bargaining or dishonesty and you need to compete just to make sure you don't get taken advantage of.

How to Prepare for a Competitive Negotiation

To effectively prepare for a competitive negotiation, you must identify four key points. We will define these four points in terms of a buyer-seller exchange, which is usually referred to as the classic negotiation, but they apply to all competitive negotiations. They are:

1. *What you consider to be an acceptable deal.* This is your target point. A target point is the settlement you would like to achieve when the negotiation is finished.
2. *Where you will start.* Since most people expect that a negotiation involves the process of give and take, or making concessions, you probably will have to ask for more than you really expect to get (if you are the seller) or have to offer less than you will ultimately have to pay (if you are the buyer). This is your opening offer.
3. *What your limits are.* Think in terms of the most you will pay (as the buyer) or the least you will take (as the seller). This is your walkaway.
4. *What you will do if you cannot strike a deal with this other party.* This is your alternative.

The Benefits and Costs of Competition

Competitive negotiation is widespread and often the right choice, but it has potential costs as well as benefits. Sometimes, as in negotiations within a family or work group, competition can create bad feelings and get in the way of positive, open communications. The following will help you decide when competition is most likely to be a good fit and when you might want to avoid it.

Benefits: Situations Where Competition Is Effective

- ✓ The goals of the parties may be short-term.
- ✓ The parties have no interest in establishing a deeper or more personal relationship with the other.
- ✓ The parties assume that their goals are incompatible — there is no way both parties can achieve their goals.
- ✓ The other party takes a competitive stance.
- ✓ The negotiators represent somebody else in negotia-

tion — a boss, a labor union, an advocacy group — who will evaluate the negotiator well if the negotiator is strong, is competitive, doesn't give in and forces the other side to give in.

Costs: Situations Where Competition Is Ineffective

- ✓ Negotiations that rely on competition can be costly and time consuming, especially if each party holds out for all its demands.
- ✓ Time and goodwill may also be lost if the other party anticipates that you will be competitive and prepares in a similar manner.
- ✓ A major problem with competition is that it is a strategy frequently used by inexperienced or untrained negotiators who believe that it is the only way to negotiate.
- ✓ It is possible to underestimate the other party's determination in a competitive situation. When using competition, we tend to underestimate the strength, wisdom, planning and effectiveness of the other party and assume that we can beat them at their own game. ■

Executing a Competitive Negotiation

As you interact with the other party, recognize that everything you do and every decision you make is part of the negotiation.

Rules of Thumb for Your Competitive Negotiation

Once you get past the opening offers or demands of each side and into a pattern of concessions, any number of things can happen and it becomes difficult to anticipate what will happen next. However, if you follow these rules of thumb, you should be able to plot a successful course through the dangerous middle ground of a competitive negotiation:

Stick to your planned target and walkaway points. Try not to be manipulated by the other party. Watch out for the tendency to find a midpoint between the other party's asking price and your first offer and to settle there too quickly.

Do not reveal your target until you are close. Provide minimal information to the other party about your real target point. If you let your target point be known, you will be open to manipulation, particularly if you think you can do better than your target point. So reveal your target points only if you can't possibly do better.

Never reveal your walkaway point. Never let opponents know your limits. If you do, they will try to settle as close to your walkaway point as possible. Even worse, they may assume that this was a bluff and try to

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Executing a Competitive Negotiation

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get you to take a deal less than your walkaway point.

Get the other party to make big concessions. If you believe that the pie is limited in size, then you want to get as much of it as you can while allowing the other side to get as little of it as possible.

Keep your concessions few, slow and small. When you have to give in, do so in small increments, one item at a time. Be patient, and remember that time is on your side. Most negotiators dislike the ambiguity and uncertainty of the middle part of negotiations and rush their concessions just to make themselves feel better about the pace of negotiations.

Investigate the other party's level of concern for the outcome, other issues, and his or her costs of ending negotiation. You may learn this through direct information — for example, if a company claims it cannot withstand a strike. And you may learn it from the behavior of people on the other side — for example, if they push to settle quickly. ■

Mastering the Art of Collaboration

Though some say real negotiators aren't supposed to collaborate (they are supposed to fight to the bitter end for what they want), we all collaborate often. Writing a book is collaboration. Doing anything in business these days is a collaboration — between associates, department, divisions, companies, even nations. And collaborating is often the best way to handle differences and conflicts. Here's why:

Collaboration, as it has evolved in the field of negotiation and conflict handling, brings problem solving into the conflict equation. It treats the conflict itself as a puzzle or problem and harnesses all the combined abilities of everyone involved to find a good way to solve the problem or crack the puzzle. As a result, collaboration often creates breakthrough solutions that make all parties happier than if they had competed, compromised or walked away.

The Four-Step Collaborative Process

There are four major steps used in carrying out collaboration:

Step One: Identify the Problem — Identifying the problem may sound like a simple step, but it's not. In the collaborative model, both sides are involved equally in the process of problem definition, and both need to agree fully on what the problem is. Beware of the tendency to define solutions before you have fully defined the problem. In fact, avoid discussing solutions until

Finding Solutions

There are two major ways to go about finding solutions. One is to redefine the problem so you can find win-win alternatives for what at first may have seemed to be a win-lose problem. The second is to take the problem at hand and generate a long list of possible solutions. In the latter case of generating solutions, consider the following options:

Expanding the pie. If the problem is based on scarce resources, the object would be to find a way to expand or reallocate the resources so that each party could obtain his or her desired end.

Logrolling. If there are two issues in a negotiation and each party has a different priority for them, then one may be able to be traded off for the other.

Offering nonspecific compensation. Another method is for one party to "pay off" the other for giving in on an issue. The "payoff" may not be monetary, and it may not even be related to the negotiation.

Cutting costs. In this method, one party accomplishes specific objectives, and the other's costs are minimized by going along with the agreement.

Finding a bridging solution. In bridging, the parties invent new options that meet each other's needs. Again, both parties must be very familiar with the other party's interests and needs.

Brainstorming. This common method for generating ideas usually works best in several small groups rather than one large group.

Forming breakout groups. In this method, each negotiator works with a small group — perhaps his or her own constituency — and makes a list of possible solutions.

Surveying. Another useful method is to distribute a questionnaire stating the problem and asking respondents to list possible solutions.

Once you have a list of possible solutions, you can reduce the number of possibilities by rating the ideas. In communicating your priorities and preferences to the other party, it's important to maintain an attitude of firm flexibility: Be firm about achieving your interests while remaining flexible about how those interests might be achieved.

you have thoroughly understood and defined the problem. The point of collaboration is to treat the outcome as variable, not fixed. So don't fix it up front.

Step Two: Understand the Problem — In this step, try to get behind the issues to the underlying needs and interests. Learn not only about the needs and interests of each party, but also about their fears and concerns. The reason for getting behind their position is that positions

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tend to be fixed and rigid — they are the result of a long reasoning process about how firm and tough to be. Try to get "behind" their firm position to more basic underlying interests, needs and values.

Step Three: Generate Alternative Solutions —

Once you have defined the issues to the satisfaction of both parties, you can begin to look for solutions. Notice that this is plural: solutions. You want to find a group of possible solutions, then select from among them the best solution for both parties. In collaborations, the more potential solutions, the more likely it is that the parties will find one that both can embrace.

Step Four: Select a Solution — Using your prioritized list of potential solutions, narrow the range of possibilities by focusing on the positive suggestions that people seemed to favor most. One way to prioritize is to logroll by packaging each person's first choice together. ■

Mastering the Art of Compromise

Compromising may be thought of as an "adequate for most occasions" approach to negotiation. In this strategy, each side will have to modify its priorities for the relationship and for the preferred outcome.

When to Compromise:

- A true collaboration does not seem to be possible but the relationship is important.
- A party's position is weaker than that of the other side.
- The parties are short of time or other critical resources necessary to get to collaboration.
- Your competitors are chasing the deal.
- When the resources are limited and can't be expanded or creatively shared.
- If both parties want to be assured that they gain something, and don't lose anything, on their key issues.
- If there are good options available on each side, one party might propose a compromise to obtain a concession on one of their more important objectives.

The Tactics of Master Compromisers

Following are some suggestions for how to compromise successfully. Success in compromises is a personally satisfying outcome that also leaves the other party reasonably satisfied. Here are the tactics.

Do your homework. Know what you want. Be sure you have clear goals and objectives.

Prioritize your goals. If you are going to compromise, you need to know what you must have, as

opposed to what would be nice to have.

Know your walkaways and alternatives. This can give you power in the negotiations, because at some point you may be better off pursuing your alternative than settling for a suboptimal agreement.

Know which person will make the decision. If the person you are negotiating with does not have the authority to make an agreement, you may be spending a lot of time waiting while he or she consults with the one who does.

Show that you want to negotiate. Say and do what is necessary to overcome the other party's reticence or distrust.

Try not to be the first side to make a major concession. Since making concessions may be interpreted as a sign of weakness, the other party may want to take advantage of this and become aggressive.

Do not wait until the deadline to offer a compromise. Compromises should be offered from a position of strength, not as a last-ditch gesture, which would suggest to the other party that you are in a weaker position.

Start with small compromises. A gradual or staged approach can help you to move toward more compromise. ■

For additional information about The Tactics of Master Compromisers, go to: <http://my.summary.com>

Three (or More) Is a Crowd

Negotiating is a challenge when there are just two parties. Add a third or fourth party with interests of their own and things become more complicated in a hurry. Two may agree, only to find the third upset and feeling that he is being ganged up against. Or one of the parties may be hard to bring to the table, preferring to stay disengaged and avoid conflict — which holds up the parties who want to resolve the conflict. These are just two of the many special problems that arise in a group negotiation. Group dynamics come into play, interweaving with the already complex dynamics of conflict and negotiation.

There are two forms of multiparty negotiations. In the first type, all the parties are at the table at the same time. This kind of a negotiation might occur in a team, task force, committee or decision-making group where there are different interests present and all must converge on a collective decision or agreement. In the second type, there are several parties, each of whom has different interests, but you deal with them separately and sequentially. Because the parties often find that they can gain strength in dealing with Y by forming an

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Three (or More) Is a Crowd

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alliance with Z, these negotiations tend to be about forming and sustaining coalitions.

Entering into a coalition with others can yield several advantages:

- Coalitions can give you more power and leverage in a group. If several members band together, you may be able to push through a plan or program that no one member could gain individually.
- Coalition partners can sometimes bring strengths to the negotiation that balance your weaknesses. Coalitions can pool all kinds of resources: different skills, different ideas, different past experiences, contacts with different people. For example, voting coalitions emerge in government bodies all the time to support or defeat proposed legislation and policies.
- You can probably be more collaborative with your coalition members, which permits you to do more creative problem solving than you could if you competed with every other party to the negotiation.

How to Interact with Coalition Members

To form durable coalitions, keep in mind the following tactics. These are considered helpful rules of conduct for interacting with your coalition members:

Be honest about saying no if that's what you really mean. Coalition members need to be clear about their concerns and objections rather than hedging.

Share your information; don't hoard or conceal it. The best coalitions use the rules of collaborative negotiation: Each partner trusts the other with information about their needs, strengths and weaknesses.

Speak clearly and honestly. Avoid political double-talk with your partners.

Don't take a new position or say yes just to be accepted in the coalition. It takes real compatibility to form a good coalition.

Try to find a common vision that unifies your coalition. If there isn't one, see if you can provide it.

Don't bad-mouth other parties. In spite of the fact that you may think what you say will be kept a secret, it always seems to get back to the other parties and causes problems later. ■

Mastering the Framing Process in Business Negotiation

Framing affects business conflicts and negotiations. Every time two negotiators define a problem or issue — in a similar or a different way — they have enacted

The Importance of Frames

The important message about frames is to understand the frames you are using and the frames others are using. When the parties are consistently not communicating, talking past each other or find their conflict escalating from simple differences to an angry confrontation, the problem is most likely rooted in a difference between their respective key frames.

Tips for Managing Frames

Here are some general tips and techniques to help you manage frames during negotiations.

Stop. Assess. Figure out what frames are for. Everyone uses frames. By thinking about them before you make any moves or demands, you may be able to come up with a better approach or strategy.

Don't talk issues if the other party is focused on process. Some people have a strong process frame, meaning they focus on how the parties should go about resolving their dispute. If someone repeatedly asks process questions, stop talking about issues and outcomes and take the time to agree with them on the process — or agree to come back to them after the issues are defined.

Don't be a victim of characterization. Does the other party have a prejudice or negative assumption about you? Do you have one about him or her? Negative characterizations are common and tend to strengthen as a conflict escalates.

Share personal feelings and pressures leading to past behaviors. Empathy (emotional understanding) is a powerful weapon against negative characterizations. If the other party understands the factors leading you to act the way you did, he or she is less likely to blame you or be mad at you.

frames that may make resolution easier or more difficult. And when a negotiator shifts his own or the other person's frame, negotiations may move forward or may deadlock and stalemate. Negotiators who master the art of framing are better at handling all sorts of business conflicts and come out ahead in negotiations.

Those who study perception and communication in conflict have defined a number of frames that commonly arise in conflict situations. The seven most common frames are:

Characterization — Characterization refers to the way parties define other parties in the conflict. In conflict situations, characterization frames are usually negative, and the other party is seen in weak, bad or otherwise unfavorable terms.

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Mastering the Framing Process in Business Negotiation

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Identity — Identity frames are the ways that parties define themselves. In conflict situations, identity frames are often the opposite of characterization frames.

Outcome — This frame refers to what the parties prefer as the specific outcome or resolution of their differences.

Interests — This fourth frame focuses on the parties' underlying interests (identified earlier). Interests are sometimes called aspirations in that the party focuses on attempting to satisfy his or her basic needs and concerns rather than push hard on obtaining a particular outcome.

Rights — Some people frame conflicts in terms of whose rights were upheld or violated. Whereas conflicts over interests are often resolved by negotiation, conflicts over rights are usually resolved by efforts to determine whose side is favored by the law, regulation or policies.

Power — Some people frame conflicts in terms of power: who is stronger, who has more resources or who is able to force the other to back down and accept a dictated solution to the conflict. People who are frustrated in their efforts to try to resolve a conflict by focusing on interests or rights often escalate to a power frame; those who have the power to enforce their will and make the other party do it their way will win the conflict.

Process — Parties often adopt different process frames in conflict. A process frame is the way each party prefers to work the conflict out or resolve it. ■

Mastering the Power and Influence Process

Fundamentally, negotiation is all about each party's efforts to influence the other. Social interactions are all about influence. No person is an island. Yet most people never study influence in depth, and so they go through life, and negotiations, in constant ignorance of the forces of influence at work around and on them.

Your mastery of the arts of power and influence not only puts you in control of your negotiations, but also inoculates you against a great many ploys and tactics that will be used against you. While most negotiators don't know all the tricks in the influence book, many have preferred two or three of them and will use their special weapons on every unsuspecting negotiator they encounter. Some negotiators have won over and over by using just one or two of the more potent techniques. Do your homework and be prepared to identify and counter

their influence moves.

Four Easy Defense Moves

There are several major tactics you should be aware of and protect yourself against. These are:

1. Watch out for cascading yeses. If you are being maneuvered into agreeing repeatedly, the other party is herding you in his or her desired direction. Never let yourself be herded.

2. Watch out for power plays. Do you always have to accommodate more powerful players? You can defend against power plays by recognizing that you do have control over the outcome in every negotiation or interaction. This isn't a hostage situation; you have a lot more choice than you think.

3. Watch out for strange requests. Research shows that an unexpected request has considerable persuasive power when used in certain ways. Defend against strange requests and unexpected behavior by focusing away from the behavior and evaluating the substance of the request or position instead.

4. Never let someone get you intoxicated during a negotiation. Don't try to negotiate over a lunch or dinner where alcohol is being served. Drinking and negotiating don't mix.

The Balance of Power

The most persuasive and influential negotiators often avoid loud, overbearing or overly colorful styles and instead rely on careful presentation, sound arguments and subtle tactics to win others over. As you negotiate, always keep one eye on the balance of power and the uses of influence. If you find yourself out-influenced and out-powered, stop and seek sources of additional power and influence for your side.

Your negotiating skills and knowledge of technique are valuable resources of influence and power, as are your abilities to manage your emotions and take the high road of reasoned, reasonable positions in any negotiation. The master negotiator is always mindful of power and careful to create sufficient influence to press his or her agenda forward. ■

If you liked *Mastering Business Negotiation*, you'll also like:

1. ***Shaping the Game* by Michael Watkins.** Four fundamental objectives that should guide leaders' actions in every negotiation they undertake.
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