

Columbia Business School  
Tuesdays/Thursdays 9 am – 12:15 pm (Section 4: Uris 142)  
Tuesdays/Thursdays 2:15 – 5:30 pm (Section 5: Warren 311)

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### A NOTE FOR FALL 2015

This course will run as a full-term course over 6 weeks rather than 12 weeks. We'll meet twice a week rather than the typical once a week. This adds flexibility to take the course for students who have openings in their courseload during the first half of the fall term. However, this also means that in order to get learning value out of the experience, the course will demand **considerable attention and effort** during this time—and **attendance is essential**. Students are encouraged to weigh their commitments carefully and enroll in the course only if they can fully commit to it during this period. Other 12-week sections of the course will be available during the Fall and Spring terms.

### COURSE OVERVIEW

For most of us, our days are filled with negotiation and conflict. They range from low stakes disputes about meeting schedules to high stakes clashes about strategic direction, and from casual debates to formal boardroom contractual agreements. Effective negotiators get the most out of disputes, not just in terms of the instrumental value they carry away, but also in terms of the relationships and reputations they leave behind. Virtually everyone could stand to improve their negotiation skills and, fortunately, virtually everyone can develop in this area.

This course aims to help students improve their skills in two fundamental ways. One is *knowledge-oriented*: students learn frameworks and concepts for analyzing conflict. Students acquire terms and models for identifying the type of conflict that exists in a situation and the potential costs and benefits of different strategies and tactics. Based on this, students should be able to interpret situations, plan tactics, and recognize and react to their counterpart's behavior. A second and complementary route to improving as a negotiator is *practice-oriented*: students complement their analytical tools with behavioral skills. 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. The 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, mediation, agents, and coalitions. Some exercises involve numerical analyses, others revolve around qualitative conflicts. By the end of the course, students should be able to comfortably and 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.

## CONNECTION TO THE CORE

This course is related to a wide range of topics that are important for developing professionals. In Columbia Business School's core course sequence, it is perhaps most directly linked to the core leadership course, *Lead: People, Teams, Organizations*, where students will have received an overview of the topic and enacted a roleplay negotiation. This course dives deeper, focusing in steps on different negotiation dynamics and ultimately addressing even more complex issues. Managerial Negotiations also deals with behavior in competitive contexts and markets, touching on topics dealt with in the *Strategy Formulation* and *Managerial Economics* core courses, and with behavior related to persuasive communication and selling, touching on topics dealt with in the Marketing core course.

This course is also connected to the core by embracing the norms of the **Columbia Core Culture**. Students are expected to be:

- **Present:** Be on time and present for every session (attendance will tracked)
- **Prepared:** Complete pre-work as needed and be prepared for cold calling
- **Participating:** Constructive participation is expected and part of grade (no electronic devices unless explicitly called for by the instructor)

## COURSE FORMAT

This is a highly interactive course. It is premised on a basic assumption that understanding and appreciation of negotiations are best achieved via hands-on experiences in combination with lecture, discussion, reading, and reflection on the underlying concepts of negotiation. There will be one or more role-play exercises in nearly every class period. These exercises have been selected to help illustrate points in readings and lectures and to motivate further reflection and reading. These exercises will put you in new, and potentially uncomfortable, situations, but within the relatively safe environment of the classroom. In these exercises, you are urged to try out new and creative behaviors and tactics that have suggested themselves to you from your own reading and reflection.

## ATTENDANCE

Because this course is so experiential, attendance at class sessions is essential to getting learning value from the course. Further, because most class sessions involve pairs or groups of students working together, absences have the potential to undermine classmates' experience. Thus, **attendance is required for all class sessions**. Absences will carry a considerable grade penalty. Those missing a single session (except for extraordinary circumstances, such as a medical or family emergency) will not be eligible for the highest grade in the course (an 'H'). Those missing multiple sessions may not earn a passing grade.

Students should provide advance notice regarding any absences through the online attendance report (see link on the course's Canvas homepage or go to [tinyurl.com/b8510attendanceFall2015](http://tinyurl.com/b8510attendanceFall2015)). **Any absences not reported through this website will receive a severe grade penalty.**

## READINGS

Readings will be drawn from several books. Students should purchase the three books noted below and read them as noted in the syllabus to get further insight into the topics the course covers:

- Fisher, Ury, and Patton, *Getting to Yes: Negotiating Agreement Without Giving In* (Penguin, 2011; ISBN-13: 9780143118756)
- Lewicki, Barry, and Saunders, *Essentials of Negotiation – 6<sup>th</sup> Edition* (McGraw-Hill, 2015; ISBN-13: 978-0077862466)  
[NOTE: this is not the same as Lewicki, Saunders, and Barry's volume, *Negotiation*]
- Stone, Patton, and Heen, *Difficult Conversations* (Penguin, 2010; ISBN-13: 9780143118442)

Additional readings will be provided in a reader and/or on the course website.

## ASSIGNMENTS AND COURSE REQUIREMENTS

Four components make up your grade: 1) required participation, 2) menu assignments, 3) a real world negotiation analysis, and 4) a final paper.

The second-to-last page of this syllabus provides a summary table of assignments.

» Required participation: 40% of grade

Participation includes several components:

- Attendance at all class sessions (see notes above on Attendance)
- Active, substantive involvement in simulations (see Role Play Ground Rules below)
- Engagement, discussion, and comments in class (quality is more important than quantity)
- Timely completion of the online assessments (one of which is due in advance of Session 1, the other of which is due in advance of Session 2)
- Timely completion of the email negotiation (conducted with a fellow student outside of class; due by Session 4), the email negotiation analysis (due by Session 5), video analysis (comments to classmate by Session 7, self analysis by Session 9), the action planning exercise (due by Session 10), and advance case preparation for Sessions 4, 8, and 11

» Menu assignments: 20% of grade

To give students some flexibility in managing their workloads and tailoring their learning experience to their needs, five assignments are offered as a menu. To earn the highest grade in the course (an 'H'), students must earn full credit for **at least four** of these assignments. To pass the course, students must earn full credit for **at least one** of these assignments. These assignments will be described in greater detail as the course goes along.

- Conflict cycle analysis
- Reading reflection
- Cultural Navigator reflection
- Guest speaker reflection
- Negotiation coaching exercise

» Real world negotiation analysis: 25%

This analysis can be either an individual or two-person project reviewing some kind of real world negotiation or conflict. The topic could be some kind of explicit transaction or deal, but could also be a qualitative dispute or conflict. One approach would be a “*real time*” analysis of an event that happens during the course itself, such as negotiating with an employer, bargaining with a contractor, or a personal dispute. The paper could cover planning for the conflict in advance (including assumptions or expectations), a description of the conflict itself as it unfolded, and a reflection and analysis of the conflict (e.g., Were any assumptions wrong? What were the economic and relational consequences of the conflict? How might the conflict have gone differently?). Another approach would be a thoughtful analysis of a *past conflict or deal*, including discussion of the background and context, the dynamics of the conflict or deal itself, and the consequences of the exchange. An effective analysis would also likely feature some observations about what went well/poorly and how things might have gone differently.

Creative approaches are encouraged. The overarching objective is to think carefully about a real world conflict or negotiation and apply some of the concepts and tools featured in the course. While the details of any given case are important to note and consider, another goal is to coax some larger and more enduring lessons (e.g., good practices) that may be applied elsewhere.

A paragraph or two describing your planned real world negotiation analysis is **due in Session 8**. Individual papers typically range from 5 to 8 double-spaced pages. The expectations in terms of depth and coverage are expanded with two people on the project (although a two-person paper is not necessarily expected to be twice the length of an individual paper). The choice to work independently or in pairs is up to students. The paper is **due in Session 11**. We may discuss some of these analyses (if students volunteer to do so) in our final class session.

» Final paper: 15%

The form this paper takes is flexible, but several models have proven to be meaningful and substantive for students. One is a self-assessment paper in which you analyze yourself, including your style and its strengths and weaknesses, based on your experience in the course, the feedback you received, as well as other experiences. This analysis could culminate in an action plan for developing as a negotiator. Another effective model is to construct a coherent personal “theory of negotiation” that reflects what you believe are the fundamental dynamics and best practices of negotiation as they relate to you. This should not be a simple recapitulation of recommendations offered in the class or readings but rather some personalized version of your own negotiation manual that reflects a meaningful amount of reflection, synthesis, and application. A third possible model is to write a negotiation case or exercise, producing materials that could possibly be used in negotiations teaching or training; if you are considering this model, you’re encouraged to discuss your ideas with me early on. Final papers are typically 5-8 double-spaced pages long (length could vary for a negotiation exercise) and are **due on 6 p.m., Tuesday, October 13, after Session 12**.

## **ROLE PLAY GROUND RULES**

Having a constructive learning environment is essential to this course's effectiveness. Everyone plays a part in this. Here are some ground rules for our roleplay exercises:

1. You are expected to be on time for class meetings and, when applicable, to arrive prepared for in-class negotiation exercises.
2. You should not show your confidential role instructions to other parties during a negotiation, nor should you directly read them aloud. At your discretion, you can choose to speak about your interests to the other side. Once the negotiation is complete, you should still keep your instructions private, unless instructed otherwise. We will debrief most of our cases collectively in class.
3. Feel free to "ad lib" in these exercises to provide rationales and explanations for your character's preferences—say things you think the character would say. That said, 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.
4. The exercises are an opportunity to experiment. Unusual tactics (or at least ones that are different for you) add variety and can benefit the group discussion. However, steer clear of anything that verges on physical intimidation, sexual harassment, or personal abuse.

## **EXERCISES, RECORDS, AND RESEARCH**

Because I want to encourage experimentation, I do not grade based on your negotiation outcomes. Yet I do carefully record the outcomes and, for some exercises, your answers to questions in the exercise materials. Sometimes I 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 instructor or teaching assistant and your record will be deleted after the class is complete.

## PART 1: TWO-PERSON NEGOTIATIONS

### SESSION 1 (Sept 1): Introduction

<i>Readings</i> (read by next session)	<i>Essentials of Negotiation</i> Ch 1 “The nature of negotiation” <i>Getting to Yes</i> Ch 6
<i>Assignments given</i>	Real-world negotiation paper (due Session 11) Final paper (due October 13, 6 p.m., after Session 12) Online assessment 1 (takes ~10 minutes, due August 31, 6 p.m. – complete before Session 1) Online assessment 2 (due September 2, 6 p.m.)
<i>Assignments due</i>	Online assessment 1 (takes ~ 10 minutes, due August 31, 6 p.m. – please complete <b>BEFORE</b> Session 1)

### SESSION 2 (Sept 3): Distributive bargaining

<i>Readings</i> (read by next session)	<i>Essentials of Negotiation</i> Ch 2 “Strategy/tactics of distrib. bargaining” <i>Getting to Yes</i> Ch 8
<i>Assignments due</i>	Online assessment 2 (due September 2, 6 p.m.; please do <b>both</b> parts)
<i>Assignments given</i>	Prepare for Session 4 case (materials distributed prior to class) Email negotiation (negotiation completed by Session 4)

### SESSION 3 (Sept 8) Integrative bargaining, Part 1

<i>Readings</i> (read by next session)	<i>Essentials of Negotiation</i> Ch 3 “Strategy/tactics of integrat. negotiation”; <i>Getting to Yes</i> Ch 1-4; “ <i>Know your objectives</i> ” (Benoliel & Cashdan) “ <i>Scoring a deal</i> ” (Ames, Larrick, & Morris)
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### SESSION 4 (Sept 10): Integrative bargaining, Part 2

<i>Readings</i> (read by next session)	<i>Essentials of Negotiation</i> Ch 4 “Negotiation: Strategy and planning” “ <i>Constructive conflict</i> ” (Follett)
<i>Assignments given</i>	Email negotiation analysis (required; due in Session 5)
<i>Assignments due</i>	Case preparation – Complete by Session 4 Email negotiation – Complete negotiation by Session 4

## PART 2: CONFLICT AND COMMUNICATION DYNAMICS

### SESSION 5 (Sept 15): Conflict styles and dynamics

<i>Readings (read by next session)</i>	<i>Difficult Conversations</i> Ch 1-4 "Your bargaining style" (Shell Ch 1)
<i>Assignments given</i>	Self video analysis (required; due in Session 9) Conflict cycle exercise (menu assignment; due in Session 9) Action planning exercise (required; due in Session 10) Reading reflection (menu assignment; due in Session 10)
<i>Assignments due</i>	Email negotiation analysis (required, due by Session 5)

### SESSION 6 (Sept 17): Culture and gender

<i>Readings (read by next session)</i>	<i>Essentials of Negotiation</i> Ch 11 "International/cross-cultural negotiation" "Why you need to ask" (Babcock & Laschever)
<i>Assignments given</i>	Cultural Navigator reflection (menu assignment; due in Session 12)

### SESSION 7 (Sept 22): Trust and treatment

<i>Readings (read by next session)</i>	<i>Difficult Conversations</i> Ch 5-6 "How to choose effectively" and "How to promote cooperation" (from Axelrod's <i>The Evolution of Cooperation</i> )
<i>Assignments given</i>	Prepare for mediation case (conducted in Session 8) Negotiation coaching exercise (menu assignment; due in Session 12)
<i>Assignments due</i>	Video comments to assigned classmate (required; due by Session 7)

## PART 3: BEYOND DYADS

### SESSION 8 (Sept 24): Mediation

<i>Readings (read by next session)</i>	<i>Difficult Conversations</i> Ch 7-12 "Managing Conflict" (Watkins Ch 7)
<i>Assignments due</i>	Draft plan for real world negotiation paper (required; due by Session 8)

## **SESSION 9 (September 29): Agents and third parties**

*Readings*  
(read by next session)      *Essentials of Negotiation* Ch 5 “Ethics in negotiation”  
“*Bargaining with the devil ...*” (Shell Ch 11); “*Confronting lies and deception*” (Malhotra & Bazerman, Ch 9)

*Assignments due*      Self video analysis (required; due by Session 9)  
Conflict cycle exercise (menu assignment; due by Session 9)

## **SPECIAL GUEST SPEAKER SESSION (September 29): Jeffrey Schackner, Citi**

*Tuesday, September 29, 5:45 p.m. – 7:00 p.m., Location TBD, RSVP urged*

Jeffrey Schackner is a Managing Director at Citi where he is Global Head of Consumer Products Investment Banking. Mr. Schackner has hundreds of billions in transactions on behalf of his clients around the world. In this session, Mr. Schackner will share his insights on negotiation, which hold lessons well beyond investment banking activity. Part of the session will feature Q&A with students, so this is a chance to put your questions to an experienced dealmaker.

The session is optional (open to students in all negotiation sections) but encouraged. Space is limited and students are urged to **RSVP** for the session (link available on the course Canvas site)

*Assignment given*      Guest speaker reflection (menu assignment; due in Session 12)

## **SESSION 10 (Oct 1): Coalitions**

*Readings*  
(read by next session)      “*Enhancing your negotiating power*” (Benoliel & Cashdan); “*Multiple parties, coalitions, and teams*” (Thompson Ch 9); “*Get all the parties right*” (Lax & Sebenius); “*Map the players, change the game*” (Ames)

*Assignments given*      Prepare for Session 11 case

*Assignments due*      Action planning exercise (required; due by Session 10)  
Reading reflection (menu assignment; due by Session 10)

## **SESSION 11 (Oct 6): Team negotiation**

*Readings*  
(read by next session)      *Essentials of Negotiation* Ch 12 “Best practices in negotiations”  
*Getting to Yes* “In conclusion”; “*A primer on personal development*”  
(Ames, Mason, & Carney)

*Assignments due*      Real-world negotiation paper (required; due by Session 11)

## **SESSION 12 (Oct 8): Conclusion**

*Assignments due*      Negotiation coaching exercise (menu assignment; due by Session 12)  
Guest speaker reflection (menu assignment; due by Session 12)  
Final paper (due 6 p.m., Tuesday, October 13, after Session 12)

## SUMMARY OF ASSIGNMENTS

More details on assignments will be offered during course meetings. A summary is offered below. See earlier section in this syllabus for further information on menu assignments.

Assignment	Format	Grading	Due
Online assessment 1	Complete online survey (see Canvas site under "Pages" on left panel)	Required for everyone	<b>August 31, 6 p.m. – BEFORE Session 1</b>
Online assessment 2	Complete online survey (see Canvas site under "Pages" on left panel)	Required for everyone	September 2, 6 p.m.
Email negotiation	Complete email negotiation and capture entire transcript in Word document; no upload needed	Required for everyone	Session 4
Prepare Session 4 case	Upload worksheet to course website and bring laptop to class (prepared to use worksheet in the negotiation)	Required for everyone	Session 4
Email negotiation analysis	Upload annotated transcript to course website	Required for everyone	Session 5
Video analysis comments to assigned classmate	Email directly to classmate AND upload to course website	Required for everyone	Session 7
Draft plan for real world paper	Upload to course website	Required for everyone	Session 8
Self video analysis	Upload to course website	Required for everyone	Session 9
Conflict cycle exercise	Upload to course website	Menu assignment	Session 9
Action planning exercise	Upload to course website	Required for everyone	Session 10
Reading reflection	Upload to course website	Menu assignment	Session 10
Real world negotiation analysis	Upload to course website	Required for everyone	Session 11
Negotiation coaching exercise	Upload to course website	Menu assignment	Session 12
Guest speaker reflection	Upload to course website	Menu assignment	Session 12
Cultural Navigator reflection	Upload to course website	Menu assignment	Session 12
Final paper	Upload to course website	Discussed in class	Tuesday, October 13, 6 p.m.

## READER: TABLE OF CONTENTS

Author(s)	Reading
Benoiel, Michael and Cashdan, Linda	“Know your objectives” (Ch II from <i>The Upper Hand</i> )
Ames, Daniel, Larrick, Richard, & Morris, Michael	“Scoring a deal: Valuing outcomes in multi-issue negotiations” ( <i>Columbia CaseWorks</i> article)
Follett, Mary Parker	“Constructive conflict”
Shell, G. Richard	“The first foundation: Your bargaining style” (Ch 1 from <i>Bargaining for Advantage</i> )
Babcock, Linda and Laschever, Sara	“Why you need to ask” (Ch I from <i>Ask for It</i> )
Axelrod, Robert	“How to choose effectively” and “How to promote cooperation” (Chs 6 and 7 from <i>The Evolution of Cooperation</i> )
Watkins, Michael	“Managing conflict” (Ch 7 from <i>Breakthrough Business Negotiation</i> )
Shell, G. Richard	“Bargaining with the devil without losing your soul” (Ch 11 from <i>Bargaining for Advantage</i> )
Malhotra, Deepak and Bazerman, Max	“Confronting lies and deception” (Ch 9 in <i>Negotiation Genius</i> )
Benoiel, Michael and Cashdan, Linda	“Enhance your negotiating power” (Ch VII from <i>The Upper Hand</i> )
Thompson, Leigh	“Multiple parties, coalitions, and teams” (Ch 9 in <i>The Mind and Heart of the Negotiator</i> )
Lax, David and Sebenius, James	“Get all the parties right” (Ch 4 from <i>3D Negotiation</i> )
Ames, Daniel	“Map the players, change the game: Evaluating who is—and should be—involved in deals and decisions” ( <i>Columbia CaseWorks</i> article)
Ames, Daniel, Mason, Malia and Carney, Dana	“A primer on personal development” ( <i>Columbia CaseWorks</i> article)