

## **THE FOUR-TYPE NEGOTIATION MATRIX: A MODEL FOR ASSESSING NEGOTIATION PROCESSES**

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**ABSTRACT:** *A model of the negotiation process is developed and applied to a sample of negotiation cases through qualitative meta-analysis. Key findings revealed a two-dimensional matrix comprising the entire negotiation process, and suggest that value creation strategies should be used for both parties in such transactions to achieve mutual benefits. This article is intended to provide scholars with a new perspective and taxonomy on the negotiation dimensions, and implications of these findings for managerial practice are discussed.*

**KEYWORDS:** negotiation dimensions; four-type negotiation matrix

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### **INTRODUCTION**

Research on negotiation has attracted scholars' attention as conceptual development has evolved regarding parties and issues negotiated. This paper proposes an investigation on the following negotiations: (i) two-parties, one issue; (ii) two-parties; multiple issues; (iii) multiple-parties, one issue, and (iv) multiple parties, multiple issues (Raiffa, 1982; Fisher Ury and Patton, 1981; Sebenius, 1992; Ury, 2015; Susskind & Field, 1996; Salacuse, 2008; Susskind & Cruikshank, 1987; Dias, M, 2019). The purpose of this article is to develop and test a qualitative two-dimensional negotiation matrix. The importance of such models on negotiation has been emphasized by Elfenbein (2013). Development of the matrix is based on meta-analysis that examined N=50 negotiation cases, from retail buyer-seller, two-party, one issue negotiation until Aerospatiale, multi-party, multi-issue negotiation. The matrix was tested in another set of negotiation cases, which examined several components of the negotiation dimensions. The findings provide scholars, managers, negotiators, mediators, facilitators, teachers, and practitioners, in general, a new insight into the two-dimensional aspects of the negotiation process.

Some of the most relevant past conceptual groundworks for the negotiation process are presented in Figures 1-3. Observe in Figure 1 that all types of negotiations are encompassed into four dimensions

(Olekalns & Adair, 2013b): (i) individual processes; (ii) social-psychological processes; (iii) communication processes, and (iv) complex negotiation.

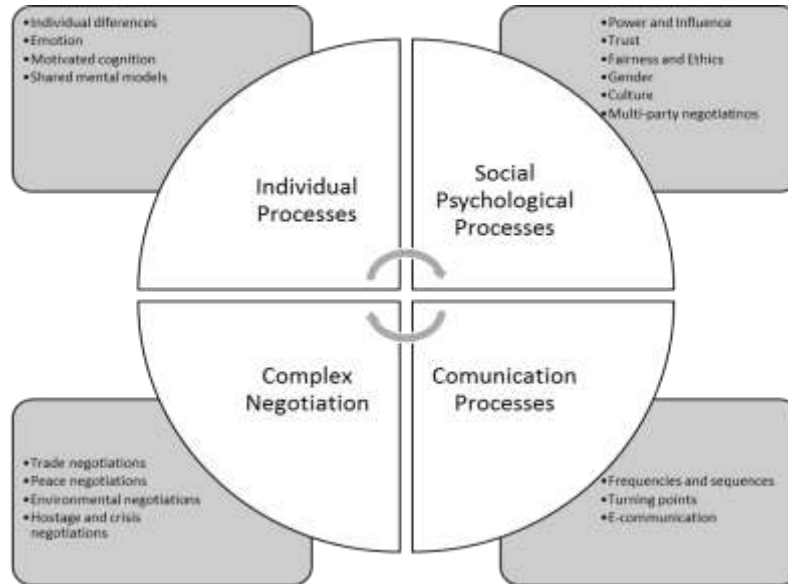


Figure 1. The four perspectives of the Negotiation Process. Adapted from Olekalns & Adair, 2013b.

Figure 2 and 3 illustrate the managerial grid (Blake and Mouton, 1964), and the Dual concern model (Pruitt & Rubin, 1986), respectively:

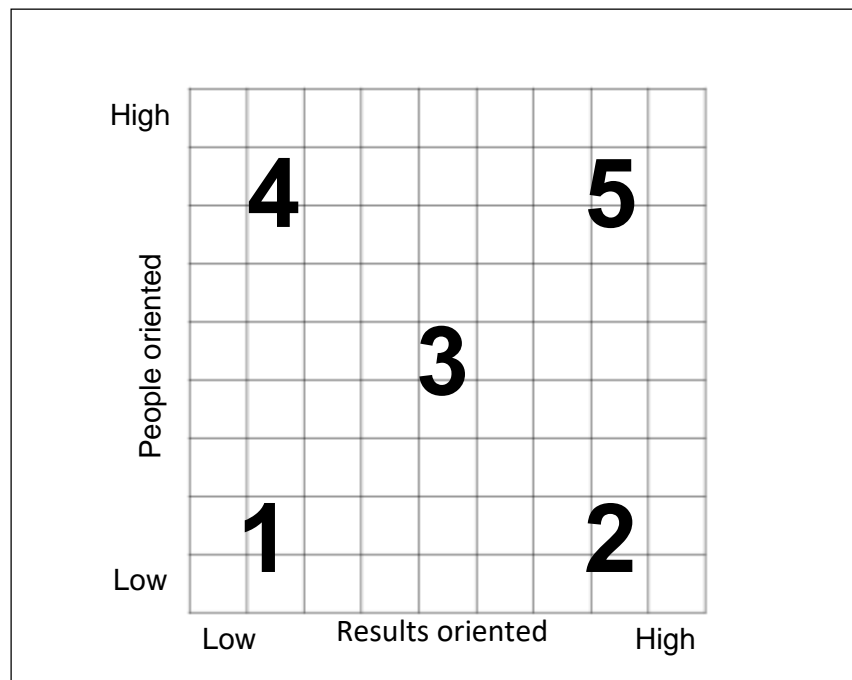


Figure 2: Managerial grid. Source: Blake and Mouton, 1964

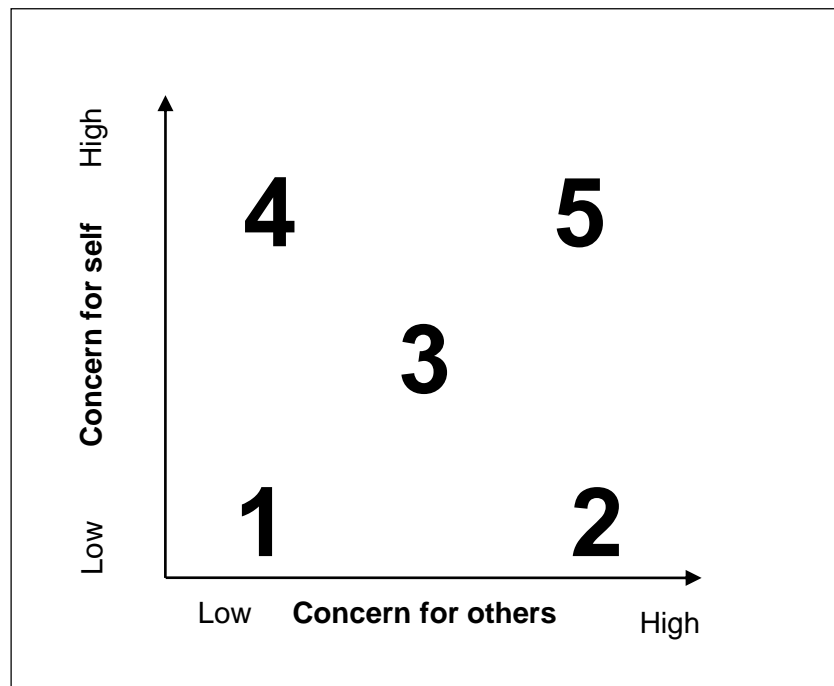


Figure 3: Dual concern model. Source: Pruitt &amp; Rubin, 1986.

Observe in Figure 2 the two-dimensions regarding results versus people orientation, as in the managerial grid (Blake & Mouton, 1964), while in Figure 3, the two-dimensions include concerns for self, versus concern for others (Pruitt & Rubin, 1986). In both cases, numbers 1 to 5 evidence a combination of high and low orientation/concerns nuances.

Based on these constructs, depicted in Figures 1-3, a more complex model is developed that includes all forms of negotiations (See Figure 4). Including both sets of matrices and models proved useful for a more detailed analysis of the negotiation dimensions.

Next, the Four-Type Negotiation matrix, as well as the theoretical rationale, are introduced. Then, methods and limitations, research design, and meta-analysis findings are presented. The managerial and conceptual implications, as well as the contribution to current epistemology in negotiation, are discussed. Finally, future research directions and potential applications are suggested.

## THE FOUR-TYPE NEGOTIATION MATRIX

Figure 5 illustrates the four-type negotiation matrix. Observe the two-dimension matrix, involving two or more parties versus one or more issues negotiated, referring to four types of negotiation, such as (i) Type I: two-party, one issue; (ii) Type II: two-party, multiple issues; (iii) Type III: multiple-party, one issue, and (iv) Type IV: multiple-party, multiple issues. The four-type negotiation matrix accommodates all forms of negotiations, regardless of gender, age, business, industry, services, dispositional or circumstance factors. Notice Types I and III are distributive negotiations, and Types II and IV are integrative negotiations, according to Raiffa (1982), to be discussed in the next section.

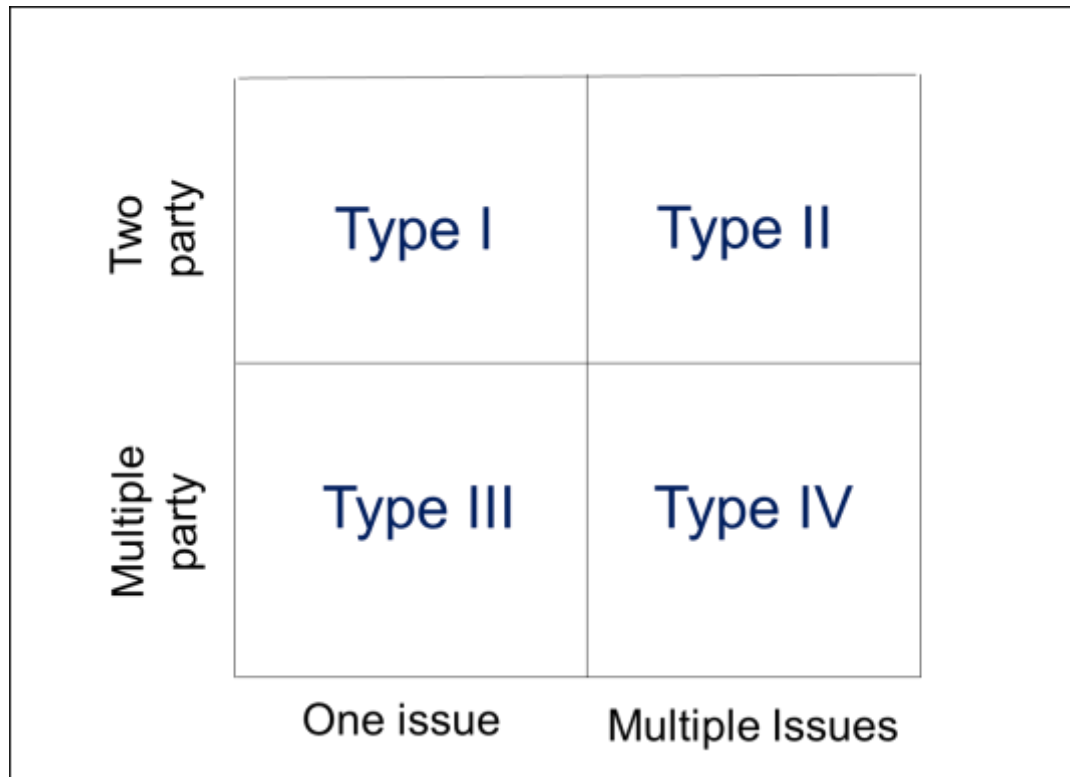


Figure 5: The Four-Type Negotiation Matrix

### THE MATRIX DEVELOPMENT - THEORETICAL BACKGROUND

The Four-Type Negotiation Matrix is influenced by an extensive body of past research on (i) Negotiation (Raiffa, 1982; Fisher Ury and Patton, 1981; Sebenius, 1992; Ury, 2015; Susskind & Field, 1996; Salacuse, 2008); (ii) Transactional negotiation between buyer and seller (Rinehart & Page, 1992); (iii) Conflict management (Pruitt & Rubin, 1986; Thomas & Killman, 1974, 2002); (iv) style leadership model (Blake & Mouton, 1964); (v) Social value orientation (Liebrand & McClintock, 1988; McClintock and Allison, 1989; Van Lange, Otten, De Bruin & Joireman, 1997; Murphy, Ackermann & Handgraaf, 2011), and the (vi) complexity of negotiation (Olekalns, M. & Adair, W.L. (2013b), to name a few.

Negotiation is “a process of communication by which two or more persons seek to advance their individual interests through joint action.” (Salacuse, 2006, p. 7). Also, “Negotiation is a process of communicating back and forth for the purpose of reaching a joint decision.” (Fisher, Ury & Patton, 1981, p. 20).

Howard Raiffa (1982), in his groundbreaking work, has defined distributive negotiation as "one single issue, such as money, is under contention" (p.33), and integrative negotiation as a "bargaining—in which there are two parties and several issues to be negotiated" (p.131). Therefore, the current epistemology on negotiation is focused primarily on the number of issues being negotiated. Value creation before value distribution has been recommended for the aforementioned forms of

negotiation, through the mutual gains approach (Susskind & Cruikshank, 1987; Susskind & Field, 1996).

Pruitt & Rubin (1986), on the other hand, investigated dyadic conflicts through the two-dimensional Dual Concern Model (DCM - See Figure 3), later influencing works on social value orientation (Liebrand & McClintock, 1988; McClintock and Allison, 1989; Van Lange, Otten, De Bruin & Joireman, 1997; Murphy, Ackermann & Handgraaf, 2011). Finally, DCM, however, is limited to dyadic, two-party negotiations, undirected to address multi-party negotiation issues. The same rationale is applied to the Thomas-Killman Instrument (Thomas & Killman, 1974), Managerial Grid (Blake & Mouton, 1964 - See Figure 3), and the Model of Transaction Negotiation (Rinehart & Page, 1992). Both conceptual models are useful to address only two-party negotiations, leaving a research gap regarding multi-party negotiations, as illustrated in Figure 6:

Model	Authors	Year	Two-party interactions	Multi-party interactions
Managerial Grid	Blake and Mouton	1964	●	-
Dual Concern Model	Pruitt & Rubin	1986	●	-
Thomas-Killman Instrument	Thomas & Killman	1974, 2002	●	-
Model of Transaction Negotiation		1992	●	-

Figure 6: theoretical background research gap

Observe in Figure 2 the research gap regarding the multi-party negotiations. Although the conceptual models are useful to address two-party negotiations, they leave a room to be explored regarding multi-parties within a given negotiation. Finally, much attention is given to the number of issues negotiated: distributive negotiations versus integrative negotiations, respectively, one and multiple issues negotiated (Raiffa, 1982).

## METHODS AND RESEARCH LIMITATIONS

This research combined multiple qualitative methods approach, such as qualitative meta-analysis, case study, with qualitative, extensive archival research. This article also compiled inductive reasoning with the interpretive approach, supported by Goffman's dramaturgical theory (1959, 1961). This section comprises the underlying assumptions, research limitations, and delimitations, as well as the research design adopted.

### *Underlying assumptions and Research limitations*

The negotiation process investigated involves at least two parties (Dias, M. 2019, Raiffa, 1982; Fisher Ury and Patton, 1981; Sebenius, 1992; Ury, 2015; Susskind & Field, 1996; Salacuse, 2008).

Negotiations, where one party negotiates with oneself (Ury, 2015), are not the scope of the present work.

The negotiation process may evolve into other forms of negotiation. Figure 7 illustrates the continuum of conflict management and resolution approaches (More, 2003).

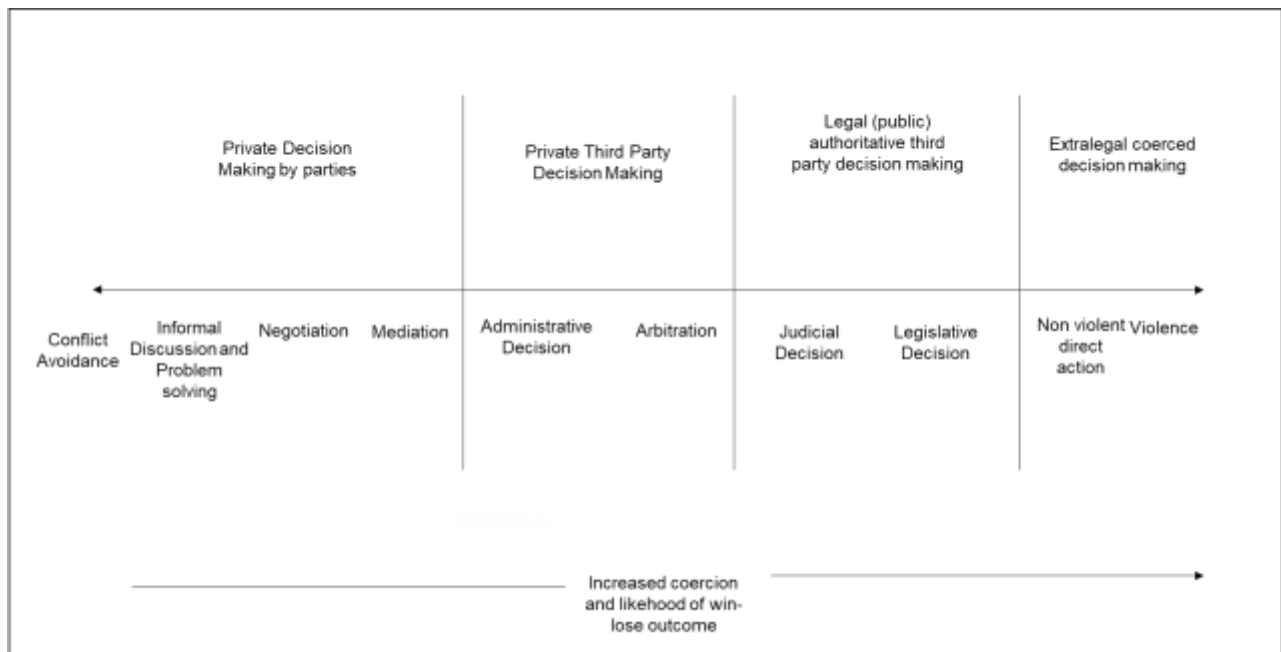


Figure 7: the continuum of conflict management and resolution approaches. Source: adapted from Moore, 2003, p.7.

Observe in Figure 7 that a negotiation process may evolve into a mediation, where a third party may join the negotiation, for instance, and vice-versa.

The number of parties in a negotiation may also vary during the negotiation. For instance, when a negotiation escalates into conflict, more parties tend to be involved in the upcoming negotiation process. A mediator or facilitator, for instance, may join an ongoing negotiation, turning a two-party into a multi-party negotiation (Pruitt & Rubin, 1986, Moore, 2003).

The number of issues negotiated may also vary during the negotiation process through value creation, to enlarge the pie (Lax, 1985; Fisher, Ury, and Patton, 1981; Sebenius, 1992; Ury, 2015; Susskind & Field, 1996).

This work is not limited to a specific form of negotiation, for instance, buyer-seller direct negotiation. Multi-party, multi-issues negotiations are investigated, regardless of the form of negotiation adopted. For example, in some cases, an agent negotiates on behalf of their counterparts (Dias, Ribeiro, and Lopes, 2019).

The negotiation cases investigated are not limited to a single country. Also, this research investigated different sorts of businesses, industries, and services, for instance, (i) mining industry (Dias, M. & Davila, 2018); aerospace industry (Cruz & Dias, 2019, 2020; Dias, Lopes and Teles, 2020); (iii) civil works (Dias, M et al, 2017); (iv) public transportation (Dias, and Teles, 2018); (v) carmaker industry (Dias, Duzert, and Teles, 2018, Dias, 2017); (vii) retail business (Dias, et al, 2014); (viii) streaming video business (Dias and Navarro, 2017); (ix) civil aviation (Dias, 2020; Dias, Lopes and Teles, 2020; Dias, 2019); (x) cruise lines services (Dias & Lopes, 2020), among others (see Table 1). The objective is to apply the qualitative conceptual model to all forms of negotiation. Therefore, in this research, there are no limitations in terms of gender, age, ethnicity, occupation, managerial level, level income, and education.

### *Research Design*

N= 50 negotiation cases were investigated in the first set of cases. The findings were analyzed, and the model designed. Next, it was applied to a new set of random 50 negotiation cases, adopting the following criteria: (i) most of the negotiation cases should be recently published. Therefore, 70 percent of the negotiation cases selected were published between 2018-20. The matrix, however, can be applied to any negotiations, regardless their recency or relevance; (ii) any form of negotiation was accepted, such as different businesses, industries, or services were accepted; (iii) the same parameters should be used to both sets of data, totaling 100 articles investigated; (iv) the parameters adopted in this research are respectively: (a) two or multi-parties; (b) one or multiple issues negotiated; (c) distributive and integrative negotiations (Raiffa, 1982); (d) forms of negotiation, such as buyer-seller, supplier-client, between partners, one-time, repetitive negotiations, to name a few; (e) negotiation environment, such as industry, government, civil work, family business, retail business, cruise services, among others. Finally, (f) type of negotiation following the Four-Type Negotiation Matrix (See Figure 8). The case studies were first analyzed in separate to establish the content validity of the concepts and to improve the data collection.

The number of parties involved and the number of issues addressed in a given negotiation are two parameters not challenging to assess when investigating each negotiation case. Bias like Hawthorne effect or attribution bias may not be significant in this research.

### **THE FOUR-TYPE NEGOTIATION MATRIX: FINDINGS**

The raw data were analyzed through content analysis. In the cases, the parties were identified according to their participation in the negotiation cases. Money-bargaining negotiations appeared in cases #6, and #12. The matrix classified all cases in the four types. Figure 8 shows the type of distribution among the N=50 negotiation cases, as follows:

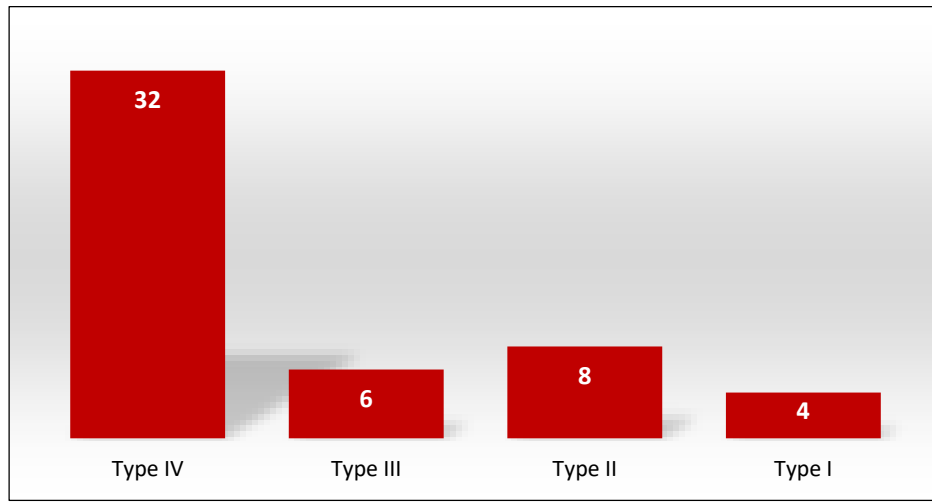


Figure 8: types distribution among the cases.

Observe in Figure 8 that 32 cases investigated reported Type IV negotiation (64 percent), which means multi-party, multi-issues negotiation. Such findings can be explained by the complexity of the negotiations investigated. For instance, in nine cases of the negotiations investigated (cases #13, #27, #30, #32, #33, #36, #42, #43, and #49 - see Table 1), involved governments and multiple stakeholders (18 percent). On the contrary, in twelve negotiations (cases #3, #5, #6, #8, #22, #29, #31, #34, #35, #39, #47, #48) two-party negotiations, or Types I and II, were conducted (24 percent). Complexity also could be verified, according to the number of issues negotiated. Figure 9 illustrates the distribution of cases regarding the number of parties (left), and issues negotiated (right), as follows:

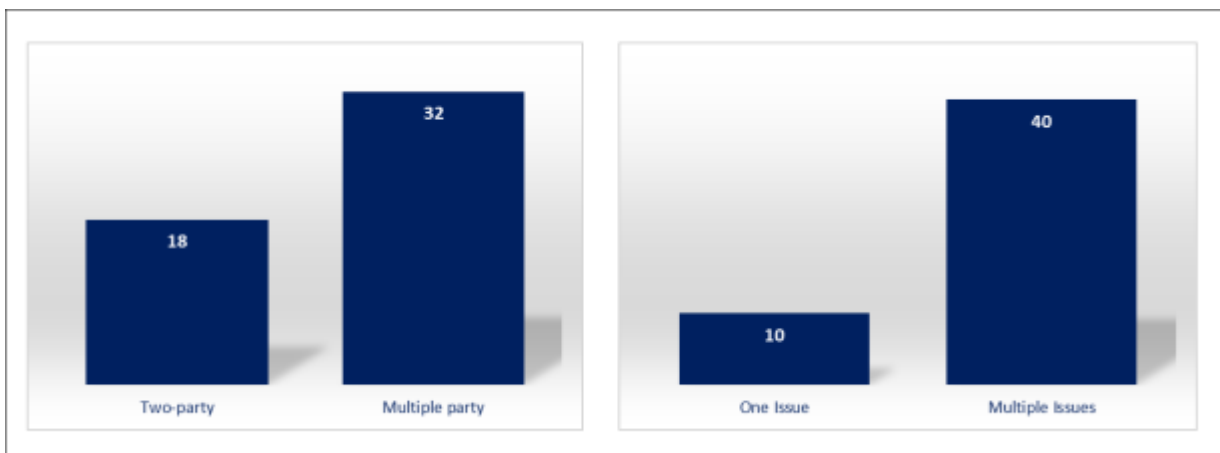


Figure 9: Distribution of the number of parties and the number of issues negotiated.



Observe in Figure 9 that multiple party negotiations (64 percent), and multiple issues (80 percent) were the majority among the N=50 cases investigated, while two-party (36 percent), and one issue negotiation (20 percent) were less frequent cases. One possible explanation to this finding, is the preference both from authors and editors to publish more complex cases, regarding the number of issues and the number of parties (multiple-party, multiple issues), than less complex cases (two-party, one issue). The complexity, however, discussed here is limited to the number of parties and issues negotiated. In some cases, apparently less complex, one-issue negotiations, can be hurtful and painful, and escalate into conflict. For instance, the custody of a child for divorced parents, can be a hurtful and complex negotiation, due to its nature. In this case, even if both parents agree freely upon the child custody (type I negotiation), it is only valid after the Court case appreciation, and only after a judge (third party) signs and files a decree of custody (type III negotiation).

Next, Table 1 illustrates the N=50 negotiation cases investigated through qualitative meta-analysis (see the following pages). The negotiation cases involved different types of negotiation environments: (i) aerospace industry; (ii) mining industry; (iii) civil aviation; (iv) IT business; (v) copier and printing services; (vi) e-business; (vii) brewing industry; (viii) public transportation; (ix) nursing; (x) public administration; (xi) banking; (xii) fashion business; (xiii) carmaker industry; (xiv) rail transportation; (xv) streaming video industry; (xvi) cooperatives, or credit unions; (xvii) water distribution; (xviii) public health; (xix) pharmaceutical industry, (xx) vitiviniculture, and (xxi) civil works.

The cases investigated were both classified in distributive (20 percent), as well as integrative (80 percent) negotiations (Raiffa, 1982).

The Four-Type Negotiation Matrix was used successfully to classify all the N=50 negotiation cases, as described in the research design section. As observed in Figure 8, the type IV negotiation appeared in 32 cases (64 percent), the most frequent negotiation type investigated. Table 1 illustrates the set of data studied, in the following pages:

Table 1: Table Meta-analysis of 50 negotiation cases

#	Authors (Year)	Parties		Issues		Form of Negotiation	Environment	Distributive/ Integrative	Four-Type Negotiation Matrix
		Two-party negotiation	Multi-party negotiation	One issue	Multiple issues				
1	Cruz, B.S.; Dias, M. (2020)		●		●	B2B	Aerospace Industry	Integrative	Type IV
2	Cruz, B.S.; Dias, M. (2020b)		●		●	B2C	IT business	Integrative	Type IV
3	Dias, M. (2012)	●			●	buyer-seller	Copier services	Integrative	Type II
4	Dias, M. (2018)		●		●	cooperatives	cooperatives	Integrative	Type IV
5	Dias, M. (2020)	●			●	B2C	Brewing industry	Integrative	Type II
6	Duzert & Dias, (2017)	●		●		buyer-seller	E-business	Distributive	Type I
7	Carvalho & Dias (2019)		●	●		B2C	E-business	Distributive	Type III
8	Craveiro & Dias, M. (2019)	●		●		peer-to-peer	Nursing	Distributive	Type I
9	Dias, M. (2018c)		●		●	B2B	Public Transportation	Integrative	Type IV
10	Dias, M. (2019)		●		●	Multiparty	Civil aviation	Integrative	Type IV
11	Dias, M. (2019b)		●		●	Government	Executive Government	Integrative	Type IV
12	Dias, M. (2019c)		●	●		Mediation	Banking	Distributive	Type III
13	Dias & Lopes (2019)		●		●	Government	Public Transportation	Integrative	Type IV
14	Dias, M. (2019d)		●	●		Debt collection	Banking	Distributive	Type III
15	Dias, M. (2020b)		●		●	Multiparty	Civil aviation	Integrative	Type IV
16	Dias, M. (2020c)		●		●	Multiparty	Civil aviation	Integrative	Type IV
17	Dias et al. 2014		●		●	Family business	Fashion Business	Integrative	Type IV
18	Dias et al. 2015		●		●	Family business	Fashion Business	Integrative	Type IV
19	Dias & Navarro (2017)		●		●	B2C	Streaming business	Integrative	Type IV
20	Dias, M., (2016).		●		●	civil works	Public administration	Integrative	Type IV
21	Dias, Navarro, Valle, (2014)		●	●		merger	carmaker industry	Distributive	Type III
22	Dias & Aylmer (2018)	●			●	generational issues	workplace	Integrative	Type II
23	Nauges & Thomas (2000)		●		●	civil works	Water distribution	Integrative	Type IV
24	Davila & Dias (2018)		●	●		Family business	Mining	Distributive	Type III
25	Dias, Teles and Pilatti, K. (2018)		●		●	Government	Executive Government	Integrative	Type IV

Note: to be continued in the next page

## Meta-analysis of 50 negotiation cases (continuation)

#	Authors (Year)	Parties		Issues		Form of Negotiation	Environment	Distributive/ Integrative	Four-Type Negotiation Matrix
		Two-party negotiation	Multi-party negotiation	One issue	Multiple issues				
26	Dias & Teles (2019)		•		•	B2C	Brewing Industry	Integrative	<b>Type IV</b>
27	Dias & Teles (2018)		•		•	Government	Public Transportation	Integrative	<b>Type IV</b>
28	Susskind & Field (1996)		•		•	Multiparty	Environment	Integrative	<b>Type IV</b>
29	Rinehart & Page (1992)	•		•		Buyer-seller	Retail business	Distributive	<b>Type I</b>
30	Dias et al. (2014)		•		•	Government	Civil Rights	Integrative	<b>Type IV</b>
31	Dias & Duzert (2016)	•			•	merger	carmaking industry	Integrative	<b>Type II</b>
32	Dias, Lopes (2019)		•		•	Government	Public Transportation	Integrative	<b>Type IV</b>
33	Dias, Navarro and Valle (2013)		•		•	Government	carmaking industry	Integrative	<b>Type IV</b>
34	Dias, Teles and Duzert (2018)	•			•	B2B	aerospace industry	Integrative	<b>Type II</b>
35	Dias, Alves and Pezzella (2016)	•			•	B2C	vitiviculture	Integrative	<b>Type II</b>
36	Dias & Aylmer, 2018		•		•	Government	social security reform	Integrative	<b>Type IV</b>
37	Dias & Navarro (2018)		•	•		Mediation	Mediation case	Distributive	<b>Type III</b>
38	Krein, Streh, Vilhena and Dias (2018)		•		•	B2C	Agriculture	Integrative	<b>Type IV</b>
39	Dias & Mori (2018)	•		•		nursing	Obstetric violence	Distributive	<b>Type I</b>
40	Dias (2020)		•		•	B2C	Craft brewing industry	Integrative	<b>Type IV</b>
41	Dias & Falconi (2018)		•		•	B2C	Craft brewing industry	Integrative	<b>Type IV</b>
42	Dias & Lopes (2019)		•		•	Government	Rail transportation	Integrative	<b>Type IV</b>
43	Dias & Lopes (2020)		•		•	Government	Public Health	Integrative	<b>Type IV</b>
44	Dias, Teles Duzert (2018)		•		•	B2B	Aerospace industry	Integrative	<b>Type IV</b>
45	Dias, Alambert (2018)		•		•	B2C	Cooperatives	Integrative	<b>Type IV</b>
46	Dias & Teles (2019)		•		•	B2C	Brewing industry	Integrative	<b>Type IV</b>
47	Lax (1985)	•			•	buyer-seller	buyer-seller	Integrative	<b>Type II</b>
48	Levy, S., & Gvili (2020)	•			•	buyer-seller	buyer-seller	Integrative	<b>Type II</b>
49	Kölling, M. (2015)		•		•	Government	Public Administration	Integrative	<b>Type IV</b>
50	Hosken, Schmidt & Weinberg (2020)		•		•	B2B	Pharmaceutical	Integrative	<b>Type IV</b>

## IMPLICATIONS AND DISCUSSION

The objective of this research was to develop a negotiation model that encompassed all types of negotiations, regardless of environments, circumstances, gender, age, net income, and level of education, which could be applied to all negotiation cases. Evidence showed that the more complex the negotiation is, the higher the type of negotiation. Evidence also pointed out that the negotiations are interchangeable, which means that during the negotiation process, if a new player joins an ongoing one-issue negotiation (Type I), it becomes a Type III negotiation (multiple-party, one issue). Alternatively, if new issues are added to a two-party negotiation with one issue (Type I), it becomes a Type III negotiation.

Consider the following example: a couple decides to buy an apartment. At this moment, there are two parties, dealing with one issue (the apartment), therefore, Type I negotiation. Suppose the couple deepens the conversation about the best-case scenario for them regarding the apartment location, infrastructure, school for kids, proximity to shopping center, among other issues. The negotiation moves from Type I to Type II (two-parties, multiple issues). Next, the couple finds an apartment, and both have to negotiate with a real estate broker. Then, the negotiation moved from Type II to Type III (multiple-parties, one issue, still the apartment (one issue)). Finally, the real estate broker and the couple start negotiating on the specifics, payment terms, and contract collaterals. Then, the negotiation moved from Type III to Type IV (multiple-party, multiple issues). Therefore, one implication is clear: the negotiation may evolve in degrees of Complexity, depending on the number of parties and issues involved. Susskind and Cruikshank (2006) report a negotiation with 95 parties, arguing that it is complicated to reach a consensus basis with too many parties. The same authors have created an approach to maximize mutual gains: the mutual gains approach that consists in four negotiation stages: (i) preparation (ii) value creation (iii) value distribution, and (iv) follow through (1987).

The findings substantiate the importance of value creation before value distribution through the mutual gains approach (Susskind and Cruikshank (1987). According to Dias (2016), "The past and present researchers drew a great deal of attention in how to encourage the parties, moving from inaction to problem-solving, and promote mutual gains instead of maximization of one or the other player's utility." (p.38) Following Van Lange, Otten, De Bruin & Joireman (1997), there are two alternatives: to maximize oneself or mutual gains in a negotiation.

The parties within the negotiation process usually exchange information, including costs, desired levels of services, volumes of operations, legal terms, norms, regulations, delivery terms and deadlines, and material availability. Understanding the parties' interests, nature (psychological, material, and procedural), as proposed by Moore (2006), can help both to achieve better deals. Value creation also implies new options (issues) creation (Susskind and Cruikshank, 2006). Therefore, value creation implies moving from Type I into Type II negotiation and from Type III into Type IV negotiation (see Figure 5).

No matter the degree of coercion in escalating conflicts, according to Moore (2006), as depicted in Figure 6, the four-type negotiation matrix is helpful to provide negotiators a perspective of

negotiation status, and thus help to plan the next steps, to better a deal or to solve a conflict, for instance.

However, in a competitive scenario, the culture of value creation is more difficult to be implemented than in a collaborative environment. Therefore, distributive strategies of negotiation are recommended for competitive scenarios. Conversely, integrative strategies are most suited for cooperative scenarios (Rinehart & Page, 1992). Hence, in a competitive scenario, the implication is related to additional difficulties regarding negotiations moving from type I into type II, and from type III into type IV.

Companies that face competitive negotiations tend to find more difficult in the buyer-seller negotiation process (Rinehart & Page, 1992). Also, negotiations with multiple parties and one issue (type III negotiation) may tend to be more difficult, as the number of parties increase, as a possible study implication.

Finally, one sad example is the distribution of food in refugee camps. Sometimes a bottle of water is disputed among many refugees (multiple parties, one issue - type III negotiation). In such extreme, competitive scenario, the continuous stress, starvation, food scarcity leads to competition. In such cases, the survival instinct speaks louder than human cooperation.

### **Future research directions**

This research addressed all types of negotiations in which two parties are negotiating at least one issue. Future research should address potential differences between parties, regarding their tend for competition or cooperation, and to assess the impact of the negotiation environment on the interchangeability of negotiation types as proposed by the four-type negotiation matrix. Finally, future research should investigate the best optimization strategies for all four types of negotiation individually, aiming at improving mutual agreements.

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