

AD-A045 213

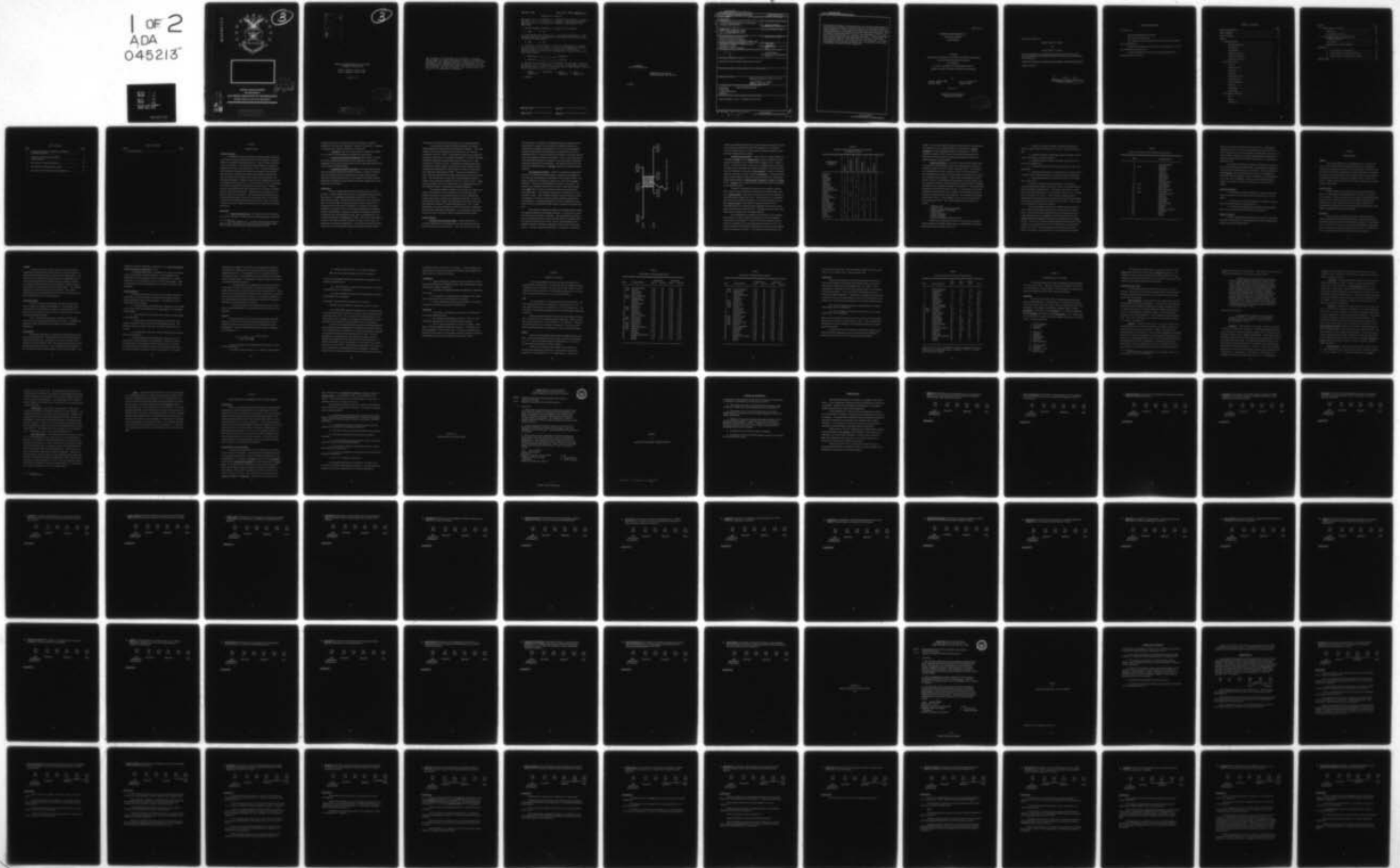
AIR FORCE INST OF TECH WRIGHT-PATTERSON AFB OHIO SCH0--ETC F/G 5/9
PERSONAL CHARACTERISTICS OF AIR FORCE CONTRACT NEGOTIATORS. (U)
JUN 77 J G BEARDEN, J C CHIPMAN

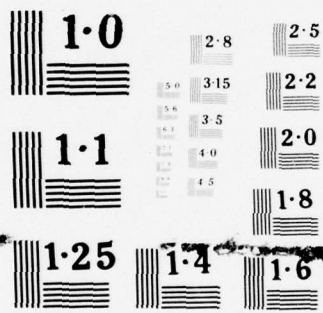
UNCLASSIFIED

AFIT-LSSR-16-77A

NL

1 of 2
ADA
045213

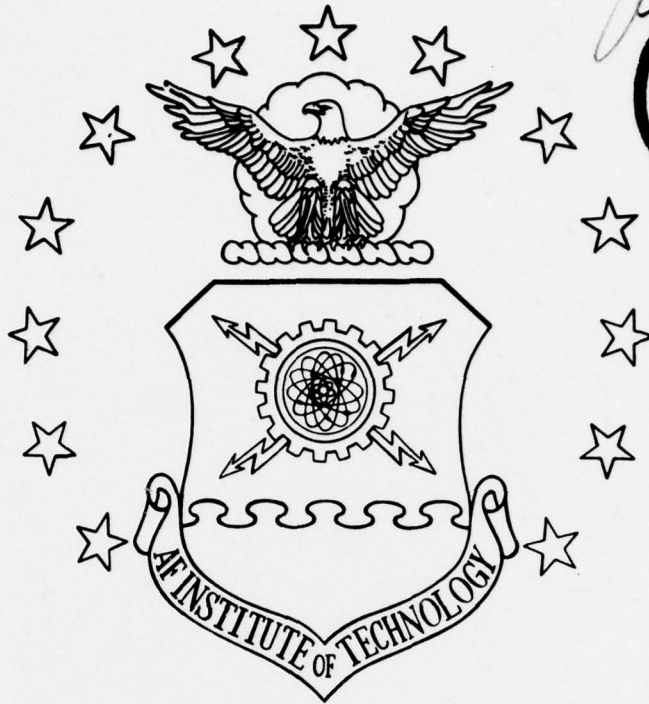




NATIONAL BUREAU OF STANDARDS
 MICROCOPY RESOLUTION TEST CHART

ADA045213

J
3



DDC
RECEIVED
OCT 14 1977
RECEIVED
D

UNITED STATES AIR FORCE
AIR UNIVERSITY
AIR FORCE INSTITUTE OF TECHNOLOGY
Wright-Patterson Air Force Base, Ohio

AD No. _____
DDC FILE COPY

DISTRIBUTION STATEMENT A
Approved for public release;
Distribution Unlimited

3

ACCESSION NO.	
NTIS	Write Section <input checked="" type="checkbox"/>
DDG	Dist. Section <input type="checkbox"/>
UNANNOUNCED	<input type="checkbox"/>
JUSTIFICATION	
BY	
DISTRIBUTION AVAILABILITY CODES	
Dist.	AVAIL. and/or SPECIAL
A	

PERSONAL CHARACTERISTICS OF AIR FORCE
CONTRACT NEGOTIATORS

James G. Bearden, Captain, USAF
John C. Chipman, Captain, USAF

LSSR 16-77A

DDC
RECEIVED
OCT 14 1977
RECEIVED
D

DISTRIBUTION STATEMENT A
Approved for public release;
Distribution Unlimited

The contents of the document are technically accurate, and no sensitive items, detrimental ideas, or deliterious information are contained therein. Furthermore, the views expressed in the document are those of the author and do not necessarily reflect the views of the School of Systems and Logistics, the Air University, the United States Air Force, or the Department of Defense.

AFIT RESEARCH ASSESSMENT

The purpose of this questionnaire is to determine the potential for current and future applications of AFIT thesis research. Please return completed questionnaires to: AFIT/SLGR (Thesis Feedback), Wright-Patterson AFB, Ohio 45433.

1. Did this research contribute to a current Air Force project?

- a. Yes b. No

2. Do you believe this research topic is significant enough that it would have been researched (or contracted) by your organization or another agency if AFIT had not researched it?

- a. Yes b. No

3. The benefits of AFIT research can often be expressed by the equivalent value that your agency received by virtue of AFIT performing the research. Can you estimate what this research would have cost if it had been accomplished under contract or if it had been done in-house in terms of man-power and/or dollars?

a. Man-years _____ \$ _____ (Contract).

b. Man-years _____ \$ _____ (In-house).

4. Often it is not possible to attach equivalent dollar values to research, although the results of the research may, in fact, be important. Whether or not you were able to establish an equivalent value for this research (3 above), what is your estimate of its significance?

- a. Highly Significant b. Significant c. Slightly Significant d. Of No Significance

5. Comments:

Name and Grade

Position

Organization

Location

OFFICIAL BUSINESS
PENALTY FOR PRIVATE USE, \$300

AFIT/LSGR (Lt Col Barndt)
Wright-Patterson AFB, OH 45433

AU FORM 6
JUL 74 6

UNCLASSIFIED

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

14 AFIT/LSGR REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER ISSR 16-77A	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
6 PERSONAL CHARACTERISTICS OF AIR FORCE CONTRACT NEGOTIATORS.		5. TYPE OF REPORT & PERIOD COVERED 9 Master's Thesis
7. AUTHOR(s) James G. Bearden, Captain, USAF John C. Chipman, Captain, USAF		6. PERFORMING ORG. REPORT NUMBER
9. PERFORMING ORGANIZATION NAME AND ADDRESS Graduate Education Division School of Systems and Logistics Air Force Institute of Technology, WPAFB, OH		8. CONTRACT OR GRANT NUMBER(s)
11. CONTROLLING OFFICE NAME AND ADDRESS Department of Research and Administrative Management (LSGR) AFIT/LSGR, WPAFB, OH 45433		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS
14. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office) 10 143p.		12. REPORT DATE 11 June, 1977
		13. NUMBER OF PAGES 130
		15. SECURITY CLASS. (of this report) UNCLASSIFIED
		15a. DECLASSIFICATION DOWNGRADING SCHEDULE
16. DISTRIBUTION STATEMENT (of this Report) Approved for public release; distribution unlimited		
17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report)		
18. SUPPLEMENTARY NOTES APPROVED FOR PUBLIC RELEASE AFR 190-17. JERRAL F. GUESS, CAPT, USAF Director of Information		
19. KEY WORDS (Continue on reverse side if necessary and identify by block number) Negotiation Personal Characteristics Procurement Contract Negotiators Negotiator		
20. ABSTRACT (Continue on reverse side if necessary and identify by block number) Thesis Chairman: Dale R. McKemey, Major, USAF		

912,250

7B

UNCLASSIFIED

SECURITY CLASSIFICATION OF THIS PAGE(When Data Entered)

This research resulted in a rank-ordered list of 27 personal characteristics in terms of relative importance of each characteristic to a successful Air Force contract negotiator. Surveys were sent to three major Air Force Systems Command organizations and distributed to selected experienced negotiators. The 27 personal characteristics were scored by each respondent as to the importance of each characteristic to a successful negotiator. These findings were then correlated among the three organizations to determine if there was a consistent rank-ordering. The results did show high correlation. An overall rank-ordered list was derived for possible use in the selection and training of Department of Defense contract negotiators.

UNCLASSIFIED

SECURITY CLASSIFICATION OF THIS PAGE(When Data Entered)

LSSR 16-77A

PERSONAL CHARACTERISTICS OF
AIR FORCE CONTRACT
NEGOTIATORS

A Thesis

Presented to the Faculty of the School of Systems and Logistics
of the Air Force Institute of Technology
Air University

In Partial Fulfillment of the Requirements for the
Degree of Master of Science in Logistics Management

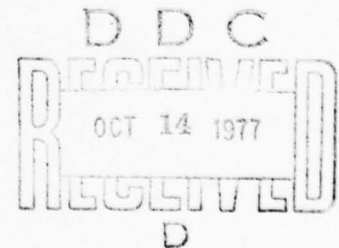
By

James G. Bearden, BBA
Captain, USAF

John C. Chipman, BS
Captain, USAF

June, 1977

Approved for public release;
distribution unlimited



This thesis, written by

Captain James G. Bearden

and

Captain John C. Chipman

has been accepted by the undersigned on behalf of the faculty of the
School of Systems and Logistics in partial fulfillment of the requirements
for the degree of

MASTER OF SCIENCE IN LOGISTICS MANAGEMENT (PROCUREMENT MAJOR)

DATE: 15 June 1977


THESES CHAIRMAN

ACKNOWLEDGMENTS

Our thanks to:

Major Dale McKemey, our advisor;

Judy and Karron, our wives;

the negotiators at ESD and SAMSO who took the time to respond to our questionnaire;

Captains Rus Whitley and Ted Novak, whose initial work in this area provided our starting point;

and an added thanks to Karron, who patiently corrected our spelling and did our typing.

TABLE OF CONTENTS

	Page
ACKNOWLEDGMENTS.....	iii
LIST OF TABLES.....	vi
LIST OF FIGURES.....	vii
Chapter	
1. INTRODUCTION.....	1
Problem Statement.....	1
Definitions.....	1
Justification.....	2
Literature Review.....	3
Research Objectives.....	11
Research Question.....	11
2. METHODOLOGY.....	12
General.....	12
Research Sites.....	12
Population.....	12
Samples.....	13
Operational Terms.....	13
Questionnaire.....	13
Delphi Technique.....	14
Analysis.....	15
Assumptions.....	17
Limitations.....	17
3. ANALYSIS OF RESULTS.....	18
ESD.....	18
SAMSO.....	18
Correlation.....	21

Chapter	Page
4. DISCUSSION OF RESULTS.....	23
Groupings.....	23
Characteristics of Note.....	24
5. CONCLUSIONS AND SUGGESTIONS FOR FURTHER RESEARCH.....	29
Conclusions.....	29
Suggestions for Further Research.....	29
APPENDICES	
A. First Iteration Questionnaire.....	31
B. Second Iteration Questionnaire-ESD.....	63
C. Second Iteration Questionnaire-SAMSO.....	95
BIBLIOGRAPHY.....	127

LIST OF TABLES

Table		Page
1.	Negotiator Background Variables as Presented by Different Writers.....	7
2.	Novak and Whitley's Rank-Ordered Characteristics.....	10
3.	Rank-Order of Characteristics-ESD.....	19
4.	Rank-Order of Characteristics-SAMSO.....	20
5.	Final Rank-Order of Personal Characteristics.....	22

LIST OF FIGURES

Figure	Page
1. McDonald Model.....	5

Chapter 1

INTRODUCTION

Problem Statement

The Armed Services Procurement Regulation (ASPR) establishes the criteria for selecting individuals within the Department of Defense (DoD) to be awarded contracting authority. Many of these individuals are DoD negotiators. The selection criteria emphasize evaluation of experience, training, and education (20: 1:73)¹. While acknowledging that experience, training, and education are important prerequisites, there is reason to believe that certain other personal characteristics have an equal or more important role to play in the composition of a successful negotiator. Moreover, there are DoD negotiators who do not have contracting authority (20: 3:111) and there are no formal procedures to consider the personal characteristics of these people. However, personal characteristics and their importance to a successful negotiator have not really been determined. Determining this information is the primary concern of the research. If these personal characteristics can be identified and ranked in terms of relative importance, the Air Force, as well as other governmental agencies, will have a basis for utilizing a number of the most important characteristics in selecting and training negotiators.

Definitions

1. Personal characteristic--any distinctive quality attributed to a person's character. These qualities include personality traits and

¹The page number is 1:73. The ASPR uses this particular numbering system. This paper will separate the source and page number with a colon followed by a space when referencing the ASPR.

influences which may be inherent, learned, developed, or granted. Examples of traits are self-confidence, integrity, and patience. Examples of influences are authority, expertise, and education.

2. Negotiator--one who communicates or confers with another so as to arrive at the settlement or agreement of some matter.

3. Air Force or government negotiator--any military or civilian Air Force or government employee with the authority to represent the government during contract negotiations and who negotiates directly with civilian industry representatives.

4. Experienced contract negotiators--Air Force contract negotiators subjectively identified through the offices of Deputy for Procurement and Manufacturing at the Aeronautical Systems Division (ASD), Electronic Systems Division (ESD), and the Space and Missile Systems Organization (SAMSO) as being experienced contract negotiators in their respective organizations.

Justification

Of the 40 billion dollars of prime contract awards in 1975 by the DoD, 37 billion dollars was procured via negotiated contracts (19:47). Specifically, this negotiated procurement amounted to 91.5% of the prime contract awards. During the same period the Air Force used about 98% of 11 billion dollars for negotiated prime contract awards (19:47). Negotiations do not end with the awarding of a contract but continue throughout the contract's life. Events later negotiated include contract changes, interpretation of contracts, acceptance of designs, acceptance of prototypes and initial production units, price of documentation, and a various assortment of contingencies (5:348). The annual dollar amount, as well as the scope and depth of events, implies a certain amount of importance is attached to negotiations. The skill of the negotiator plays a large role in the resulting dollar amount and other contractual terms.

The factors of negotiator selection should not be under-emphasized.

The government contract negotiator operates with several disadvantages when dealing with his industrial counterpart. One disadvantage is that he must negotiate with an objective of a "fair and reasonable" price (20: 3:120). This objective comes from the ASPR and is binding on the part of the government negotiator. With this limitation, government negotiators are frequently taken advantage of by a more "competitive" opponent (10:96). Administrative pressures from heavy workloads, the need to operate with fiscal year time constraints, and awareness that performance is often judged on rapidity of conclusion also contribute disadvantages (5:352). The status of negotiators in large contractor negotiations is another handicap for the Air Force negotiator. The industry team is often led by vice-presidents while the military team is generally headed by a GS-13 or a GS-14 (5:357). These examples provide a few of the reasons why the government should use every important factor in selecting and training negotiators.

The proposed research is based on the results of a thesis completed in the Spring of 1976 by Captains Novak and Whitley (16). Twenty-seven personal characteristics were ranked by experienced contract negotiators in ASD using a consensus technique. Of the ten characteristics ranked highest, the ASPR requires only one to be evaluated during the selection of contract negotiators (20: 1:78). A clear need exists to test the consistency of Novak and Whitley's findings at other Air Force acquisition organizations. The consistency information can then be used to establish a basis for generalizing the results.

Literature Review

Winning at the negotiating table. Karrass stated that "in successful negotiation both parties gain, but more often than not one party wins more than the other [10:4]." Why does one party win more

than the other? The question of consistent winning is complex and no clear answer is evident, but the concept of consistent winning is a fundamental assumption of the research. What are the more important personal characteristics of individuals who consistently win at the negotiating table? In order to answer this question a very basic description of the negotiation process is necessary. After the brief discussion of the negotiation process, the opinions of various authors on important personal characteristics are presented. The literature review will conclude with information about the relative importance of personal characteristics.

The negotiating process. Webster's Dictionary defines negotiation as the process of communicating or conferring with another so as to arrive at the settlement or agreement of some matter (6:383). The phrase "settlement or agreement" implies that there exists an area of settlement. The sought after agreement is elastic, or not fixed. For example, if an individual wants to buy a parcel of land and the seller has a fixed price to which he is totally committed, then negotiation cannot take place. The individual simply buys or decides not to buy at the seller's price. This concept is important because within the "area of agreement" is where the more successful negotiators demonstrate their attributes. McDonald explained this view of negotiation in more detail (12) and his negotiation model (Figure 1) graphs this concept very well.

The process of negotiation within the McDonald Model involves two opposing positions with defined objectives. The buyer has a maximum position and the seller a minimum. During negotiations the buyer makes concessions from his starting position toward his realistic objective while the seller does the same. As both parties approach their respective realistic objectives, negotiation becomes more intense and critical. The area of objective persuasion, or agreement, is where the

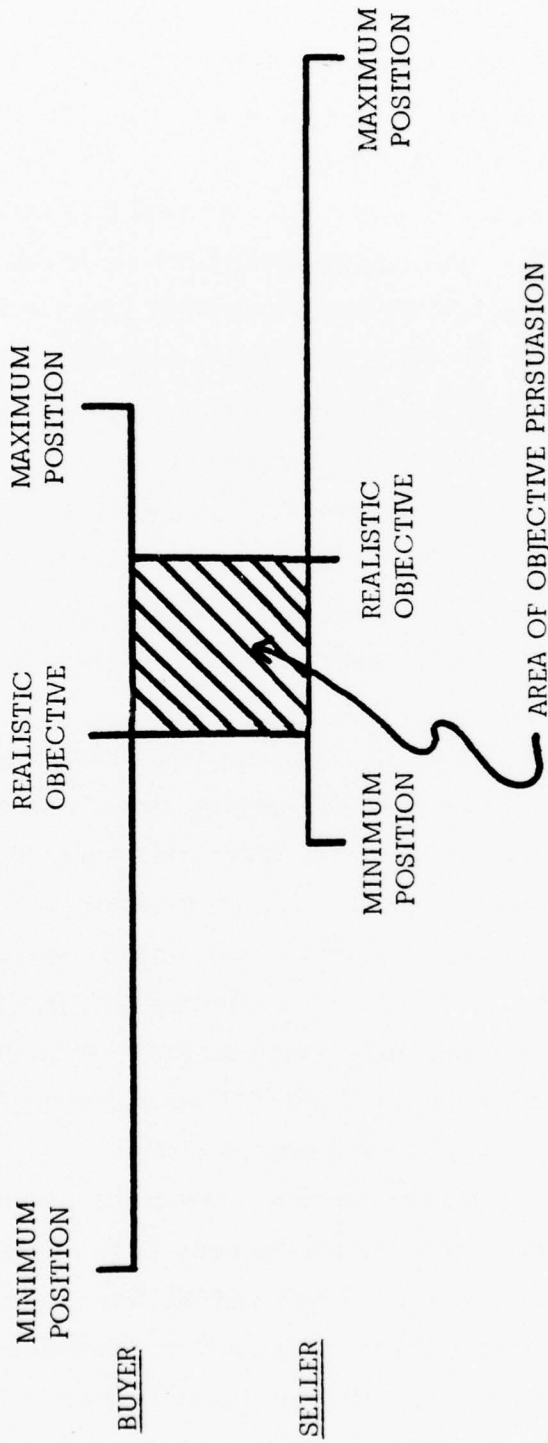


Figure 1

McDonald Model

"better" negotiator demonstrates his superior ability by ending up closer to his realistic objective than the other negotiator to his objective. With this process in mind, a look at several important personal characteristics of negotiators is in order.

Personal characteristics. Coffin said that winning depends on a compelling desire to win, understanding the basic concepts and techniques of negotiation, and a certain amount of luck (1:viii). Gordon W. Rule, in an interview (11:46), stated that a negotiator should be neither an introvert nor an extrovert but someone in between. He also said that "such an individual is necessarily self-confident," but that all descriptions are "secondary to tough, practical skepticism." Hovland and Janis found in their study that those not so easily persuaded are independent without being rebellious, self-confident, imaginative, tactful and mature (9:96). Patience was an important characteristic frequently encountered in the literature review.

Although it is difficult to discern from the general literature which traits are more important than others, one did consistently stand out: planning ability. Rule stated "bargainers are only as effective as their negotiating preparation [11:45]." Karrass wrote that "purchasing executives were in general agreement that a good negotiator must possess, above all else, a high degree of planning ability [10:33]." Nierenberg found that "negotiators who prepared--who did their homework--were ahead of the game [15:8]." Planning ability was also highly emphasized by Coffin (1:37) and Hermone (8:20).

The identification of personal characteristics in the literature review reveal a variety of terms and reasons as to why the different characteristics are important. Novak and Whitley identified and discussed the aggregation of these characteristics thoroughly (16:1-11). Their summation of characteristic identification derived from six notable authors is presented in Table 1. This summation provided Novak and

Table 1
 Negotiator Background Variables as Presented
 by Different Writers

BACKGROUND VARIABLES	KARRASS	CONSTANTINO	LEE AND DOBLER	NIERENBERG	BAILY	HERMONE
Authority	X			X		
Beliefs			X			
Deliberate	X	X				
Education	X	X	X			
Empathy	X	X	X			
Experience				X		
Expertise	X		X			X
Good Listener	X		X	X	X	
High Expectations	X			X		
Integrity	X	X				
Patient	X	X	X	X		
Persuasive		X	X			
Planning Ability	X			X	X	X
Rational	X		X	X	X	X
Realistic	X					
Self-Confident	X	X	X	X		
Self-Control	X		X		X	
Self-Esteem	X			X		
Sense of Timing		X		X		
Skepticism	X					
Status	X					
Tactful			X			
Verbal Skill	X		X			

Whitley a basic list of identified personal characteristics of negotiators. The primary aim of this research effort is to determine the relative importance of these aggregated personal characteristics. With the exception of Karrass (10:30), none of the literature reviewed prior to Novak and Whitley reported an empirically derived rank-ordering of desirable personal characteristics.

Relative importance. In his first of two surveys, Karrass used 26 senior purchasing directors to rank the characteristics in each of 6 clusters in terms of "most" to "least" essential (10:31). He included 7 or 8 characteristics in each cluster for a total of 45 characteristics. Each respondent also chose 4 characteristics from among the 45 of which they considered most important. Next, Karrass administered the same survey to a total of 483 professional negotiators to include buyers, contract managers, suppliers, design engineers, program managers, attorneys, accountants, and real estate salesmen (10: Appendix I). The results were presented in a rank-order for each cluster. In other words, the 45 characteristics were broken down into 6 separate rank-ordered lists with no overall rank-ordering of the characteristics. His conclusion from these surveys was a list of 7 "most important" traits, but this final list was not rank-ordered (10:36). The 7 most important traits are listed as follows:

- Planning skill
- Ability to think clearly under stress
- General practical intelligence
- Verbal ability
- Product knowledge
- Personal integrity
- Ability to perceive and exploit power

Karrass also interpreted the results of the survey to find what general differences emerged between groups of professional negotiators. His findings were as follows (10:34-35):

1. Engineering program managers--emphasized objectives , ability to exploit power , willingness to take risks , and need for discretion .
2. Supplier salesmen--emphasized product knowledge , persistence , intelligence , and business ethics .
3. Design Engineers--product knowledge , self-control , discretion , and perspective .
4. Contract administrators--emphasized caution , ethics , and persistence .
5. Attorneys and accountants--emphatically see negotiation as a problem-solving affair rather than an attempt for reaching objectives .
6. Real-estate salesmen--emphasized initiative and willingness to take risks .

Novak and Whitley sent questionnaires to 42 previously identified experienced contract negotiators (16:44). The questionnaires listed 27 personal characteristics . Respondents were asked to score each of the characteristics on a 6 point integer scale from 0 to 5 ranging from "no influence" to "vital". The methodology employed was a modified Delphi technique involving iterations of the same questionnaire to the same respondents until a consensus was reached . Table 2 reports the rank-ordered results of their research .

Of special interest , because of the ASPR selection criteria , is the fact that experience and education were ranked 6 and 21 respectively . Novak and Whitley commented that the literature and the surveyed negotiators were in agreement on education (16:62) , while the negotiators ranked experience higher than the literature would suggest (16:61) . The survey by Karrass showed experience and education ranked number 6 and 8 respectively out of 8 characteristics in that particular cluster (10:33,243) . Another interesting finding was that planning ability , indicated by the literature to be the most important character-

Table 2

Novak and Whitley's Rank-Ordered Characteristics

Rank	Characteristics
1	Self-confidence
2 (Tie)	Integrity
2	Adaptability
3	Rational
4	Realistic
5	Verbal skill
6	Experience
7	Self-control
8	Authority
9	Planning Ability
10 (Tie)	Self-esteem
10	Good listener
11 (Tie)	Persuasive
11	Task orientation
12 (Tie)	Deliberate
12	High Expectations
13	Patience
14	Skepticism
15	Tactfulness
16	Reputation
17	Sense of timing
18	Expertise
19	Empathy
20	Academic discipline
21	Education
22	Status
23	Beliefs

istic was rated ninth in Novak and Whitley's study. Respondents' comments on Novak and Whitley's questionnaire indicated a lack of time to preplan and a lack of recognition of contingency planning (16:55). These comments implied that planning deserved greater emphasis but since time constraints made preplanning impractical, a lower ranking resulted (16:56).

In summary, the literature revealed considerable speculation about important personal characteristics of negotiators and pointed out the value of the characteristics to a negotiator. Karrass attempted to derive relative value, but subdivided his traits such that one rank-ordered list was not obtained. Novak and Whitley's study appeared to use a more valid methodology; however, further empirically based research is needed to validate the methodology and generalize the results.

Research Objectives

1. Determine the relative importance of personal characteristics as perceived by the selected contract negotiators at ESD and SAMSO.
2. Analyze any significant differences of personal characteristic rank-orders between the organizations.
3. Derive one rank-ordered list of personal characteristics based on the combined results from ASD, ESD and SAMSO.

Research Question

Is there a consistency between Air Force contract negotiators of different organizations in their perceptions of relative importance of negotiator personal characteristics?

Chapter 2

METHODOLOGY

General

This chapter describes the methodology used in the research effort. Given the fundamental research objective was to determine consistency between the results of Novak and Whitley's ASD study and the ranking of personal characteristics at ESD and SAMSO, the researchers used the same questionnaire of the earlier study, the same approach to selecting the sample, and similar statistical tools to analyze the results. Slight variations to Novak and Whitley's approach are pointed out where appropriate.

Research Sites

Questionnaires were administered to contract negotiators at ESD, L.G. Hanscom AFB, Massachusetts and at SAMSO, Los Angeles AFS, California. These sites were chosen in order to include negotiators within all three divisions of the Air Force Systems Command (AFSC). Another reason for the chosen sites was that sample selection and questionnaire administration was less complicated as there were a large number of negotiators at these two locations.

Population

The population consisted of all buyers, procuring contract officers and price analysts at SAMSO and ESD. These three categories included all military and civilian personnel who negotiate at each organization. There are 172 civilian and 27 military negotiators at SAMSO (14) and 102 civilian and 46 military negotiators at ESD (13). No effort was made to differentiate between military and civilian responses.

Samples

Samples were taken from the SAMSO and ESD populations. Experienced negotiators were chosen through the office of Deputy for Procurement and Manufacturing at each of the two organizations. The choice of the 45 individuals for each sample was judgemental on the part of the organizations--the samples were not randomly selected. The particular method of selection was necessary to obtain an appropriate group of respondents for the Delphi methodology. Any generalizations of the results should note this limitation. The samples represented experienced negotiators within AFSC, but were not necessarily representative of the total population.

Operational Terms

The term "background variables" was used by Novak and Whitley instead of "personal characteristics." This research study uses "personal characteristics" in order to be consistent with the general use of the term, and also because it appears to have a clearer and more identifiable meaning.

The 27 personal characteristics identified by Novak and Whitley in their questionnaire were used in our study. The operational definition of each characteristic is included in the questionnaire (Appendix A).

Questionnaire

The research employed the questionnaire developed by Novak and Whitley (Appendix A). The questionnaire was developed through an extensive literature search, opinions of two Deputy Directors of Procurement and Manufacturing in ASD, and comments received from various contract negotiators within ASD. The questionnaire was validated by the two Deputy Directors of Procurement and Manufacturing (ASD). Each

question was further subjected to validation via the Likert Technique of Scaling for Internal Consistency (15:34).

The questionnaire itself is composed of 27 personal characteristics, each defined and listed separately. The respondents were instructed to rate the importance of each characteristic on an ordinal scale from 0 to 5 by placing an X in one of the six scale boxes. Space was allocated with each characteristic for an optional comment by the respondent.

Delphi Technique

The Delphi technique (2;3;7) was used to obtain a consensus of opinions as to the rank-order of personal characteristics from the chosen negotiators within each organization. The procedure for this methodology was as follows:

1. The first iteration of questionnaires (Appendix A) was mailed to each organization and distributed to the respondents by a designated project officer.
2. The completed questionnaires were mailed back individually to the researchers.
3. A rank-order of the characteristics was obtained by computing an arithmetic mean for each of the characteristic scores. The highest average was ranked number one, the second highest two, and so forth.
4. An interquartile range (the middle 50 percent) was computed for each characteristic.
5. Second iteration questionnaires were mailed back to the organizations for distribution to the respondents. While the format of the questionnaire was unchanged from the first iteration, the second round questionnaire contained the arithmetic mean, interquartile range, and selected pertinent comments for each characteristic. To maintain

organizational integrity the information was separated and therefore there were slight differences in the second iteration questionnaires (Appendices B and C). If a respondent chose a response outside the interquartile range, he was requested to write the reason for his choice in the comments section. This procedure tended to lessen the variation of responses between iterations.

6. The determination of consensus was basically subjective. A reduction in variation of responses from iteration to iteration is a strong indicator that a group is moving toward a consensus (3:4). While more than two iterations were precluded by time constraints, we believe that the significant reduction in variations in the second iterations of both organizations was conclusive enough to state that both groups of respondents were approaching a consensus.

7. A final rank-order of the characteristics for each organization was obtained based on the arithmetic mean as in step 3 of this procedure.

Analysis

After determining the final rank-order of personal characteristics for SAMSO and ESD, the researchers ascertained the level of correlation between the rankings for the three organizations under consideration. This was accomplished using the Kendall Coefficient of Concordance: W .

$$W = \frac{s}{1/12k^2(N^3 - N) - k\sum T} \quad (17:234), \text{ where:}$$

s = Sum of squares of the observed deviations from the mean of the summed ranks.

k = Number of sets of ranking, e.g., number of organizations.

N = Number of items ranked, e.g., number of questions.

\sum_T = Sum of all tied rankings over all set of rankings.

Once W was calculated, statistical significance was tested with the following hypothesis test:

H_0 : The rank-orders of personal characteristics by the three organizations are not in agreement.

H_1 : The rank-orders of personal characteristics by the three organizations are in agreement.

The method of calculating the statistic for this test was:

$\chi^2 = k(N-1)W$ with degrees of freedom (d.f.) = $N-1$ (17:236).

If a computed χ^2 equaled or exceeded that of a value from the Chi-Square Distribution (16:619) for a chosen level of significance and a particular value of d.f. = $N-1$, then the null hypothesis (H_0) that the three organizations' rankings of the personal characteristics are not in agreement may be rejected at the prescribed level of significance.

As there was no external criterion placed on the respondents for their ordering of the characteristics, a statistically significant level of W was interpreted as an indication of a consensual ordering, as opposed to an objective ordering of the characteristics (17:239). While the Coefficient of Concordance is a well-accepted statistical method, Kendall has suggested that the best estimate of the true ranking of N objects is provided, when W is significant, by the order of the various sums of the ranks (17:238). This concept was employed in the analysis and a composite list of characteristics was established. Computer support for the statistical analysis of this effort came from two sources:

the CREATE system and the CDC 6000 system. On both systems, programs from the Statistical Package for the Social Sciences (SPSS) were used to reach the statistical findings.

Assumptions

1. Survey respondents, selected through the office of Procurement and Manufacturing at SAMSO and ESD, were chosen based on their experience as contract negotiators.
2. There was no collusion between respondents in completing the surveys.
3. The reduction of average variation between the two iterations of the survey was a valid criterion for consensus.
4. Chosen negotiators were the most appropriate individuals to determine importance of personal characteristics.

Limitations

1. The strength of generalizing the results is limited due to non-random sample selection.
2. Each personal characteristic listed may not be the most universally accepted term for the particular concept desired.
3. The Air Force negotiators are buyers, not sellers. Negotiation, of course, represents opposing positions. The results of the survey represent a "buyer's view" only. It cannot be assumed that a negotiator who primarily buys perceives relative importance of personal characteristics the same as a negotiator who primarily sells.

Chapter 3

ANALYSIS OF RESULTS

This chapter presents the data that was collected from the questionnaire administration. It covers both ESD and SAMSO responses. Included will be the results of the correlation of ESD, SAMSO, and the previous ASD study responses. The chapter concludes with a final rank-order of characteristics based on all three organizations.

ESD

For each iteration, 45 questionnaires were mailed to ESD. The first iteration resulted in 34 responses for a response rate of 75.5%. The second iteration drew 28 responses for a 62.2% response rate. The rank-order of characteristics derived from the ESD responses is portrayed in Table 3.

Mean responses demonstrated no identifiable pattern of change, with 12 increases and 15 decreases between iterations. These changes were minor, ranging from +.40 (Authority) to -.58 (Empathy). The significant changes came in the variation of responses. Average variation for the first iteration was 1.199 and only .619 in the second iteration.

SAMSO

Forty-five questionnaires were mailed to SAMSO for each iteration. Thirty-five responses came on the first iteration for a response of 77.7%. The second iteration drew 28 responses for a 62.2% rate. The rank-order of responses is shown in Table 4.

As with ESD, examination of changes in mean responses revealed little significant information. Changes were again minor, ranging from +.39 (Experience) to -.27 (Self-control). Reduction in

Table 3

Rank-Order of Characteristics-ESD

Rank	Characteristic	Iteration 2		Iteration 1	
		Mean	Variance	Mean	Variance
1 (tie)	Self-Confidence	4.50	.46	4.15	.91
1 (tie)	Rational	4.50	.25	4.44	.36
2	Self-Control	4.43	.32	4.15	.73
3	Verbal Skill	4.25	.33	4.00	.65
4 (tie)	Task Orientation	4.21	.45	4.15	.95
4 (tie)	Adaptability	4.21	.45	4.24	.65
5	Planning Ability	4.18	.79	4.12	.87
6	Integrity	4.11	.88	4.21	1.10
7	Good Listener	4.04	.53	4.18	.85
8	Realistic	4.00	.50	3.97	.68
9 (tie)	Experience	3.96	.68	3.94	1.23
9 (tie)	Authority	3.96	.32	3.56	1.60
10	Deliberate	3.89	.45	4.06	1.11
11	Persuasive	3.75	.47	3.47	1.01
12	Sense of Timing	3.71	.49	3.65	1.40
13 (tie)	Skepticism	3.46	.53	3.76	.94
13 (tie)	Self-Esteem	3.46	.39	3.32	1.51
14	Reputation	3.32	.72	3.68	1.22
15 (tie)	Tactfulness	3.21	.53	3.26	1.19
15 (tie)	Expertise	3.21	.88	3.15	1.36
16 (tie)	High Expectations	3.07	.92	3.00	1.65
16 (tie)	Patience	3.07	.57	3.29	1.62
17	Empathy	1.89	.88	2.47	1.90
18	Education	1.71	.56	1.74	1.25
19	Academic Discipline	1.68	.65	1.74	1.43
20	Status	1.18	1.29	1.56	2.48
21	Beliefs	1.07	1.42	1.00	2.00

Table 4

Rank-Order of Characteristics-SAMSO

Rank	Characteristic	Iteration 2		Iteration 1	
		Mean	Variance	Mean	Variance
1 (tie)	Self-Confidence	4.64	.23	4.46	.42
1 (tie)	Adaptability	4.64	.23	4.26	.93
2	Experience	4.50	.32	4.11	.50
3	Task Orientation	4.39	.31	4.17	.71
4	Rational	4.25	.40	4.37	.52
5	Deliberate	4.14	.26	4.09	.82
6 (tie)	Realistic	4.07	.35	4.00	1.08
6 (tie)	Reputation	4.07	.78	3.80	1.01
7 (tie)	Verbal Skill	4.04	.32	3.91	.89
7 (tie)	Integrity	4.04	.68	4.17	1.06
8	Self-Control	3.96	.53	4.23	1.09
9	Tactfulness	3.89	.45	3.54	1.39
10	Planning Ability	3.75	.33	3.83	1.34
11	Authority	3.68	.29	3.31	1.24
12 (tie)	Good Listener	3.64	.80	3.71	1.18
12 (tie)	Persuasive	3.64	.37	3.66	.74
13 (tie)	Skepticism	3.61	.24	3.54	1.10
13 (tie)	Sense of Timing	3.61	.38	3.43	1.10
13 (tie)	Patience	3.61	.45	3.51	1.39
14	High Expectations	3.54	.46	3.49	.99
15	Self-Esteem	3.50	.75	3.54	1.68
16	Expertise	2.89	.67	2.97	1.51
17	Empathy	2.43	.82	2.66	2.05
18	Education	1.93	.99	1.69	1.93
19	Academic Discipline	1.36	.80	1.26	1.22
20	Status	1.00	.86	1.40	1.90
21	Beliefs	.43	.39	.69	1.36

average variation was even more pronounced at SAMSO than ESD, going from 1.156 on iteration one to .499 on iteration two.

Correlation

Using the rank-orders of characteristics derived from the surveys at ASD (Table 2), ESD (Table 3) and SAMSO (Table 4) the calculated Kendall Coefficient of Concordance was: $W = .8939$. The W coefficient is a measure of how the organizations agree on the rankings of the characteristics. A $W=0$ would mean no agreement and a $W=1$ would mean perfect agreement. Considering the number of organizations, the length of the list of characteristics, and the high value of our W , we tested the W for statistical significance with our basic hypothesis test:

H_0 : The rank-orders of personal characteristics by the three organizations are not in agreement.

H_1 : The rank-orders of personal characteristics by the three organizations are in agreement.

Based on a calculated Chi-Square value of 69.7256, the null hypothesis was rejected at a level of significance of .00001. Thus, the alternate hypothesis that the rank-orders of the three organizations are in agreement was accepted.

As the level of W was statistically significant, Kendall's suggestion (16:238) to determine a final rank-order of characteristics by ordering the various sums of the ranks was followed (Table 5).

Table 5

Final Rank-Order of Personal Characteristics

Rank	Characteristic	ASD Rank	ESD Rank	SAMSO Rank	Sum
1	Self-Confidence	1	1.5	1.5	4
2	Adaptability	2.5	5.5	1.5	9.5
3	Rational	4	1.5	5	10.5
4	Verbal Skill	6	4	9.5	19.5
5	Integrity	2.5	8	9.5	20
6	Experience	7	11.5	3	21.5
7	Self-Control	8	3	11	22
8	Realistic	5	10	7.5	22.5
9	Task Orientation	13.5	5.5	4	23
10	Planning Ability	10	7	13	30
11 (tie)	Deliberate	15.5	13	6	34.5
11 (tie)	Authority	9	11.5	14	34.5
12	Good Listener	11.5	9	15.5	36
13	Persuasive	13.5	14	15.5	43
14	Reputation	20	18	7.5	45.5
15	Self-Esteem	11.5	16.5	21	49
16	Tactfulness	19	19.5	12	50.5
17	Skepticism	18	16.5	18	52.5
18	Sense of Timing	21	15	18	54
19	Patience	17	21.5	18	56.5
20	High Expectations	15.5	21.5	20	57
21	Expertise	22	19.5	22	63.5
22	Empathy	23	23	23	69
23	Education	25	24	24	73
24	Academic Discipline	24	25	25	74
25	Status	26	26	26	78
26	Beliefs	27	27	27	81

NOTE: The ASD, ESD, and SAMSO rankings were averaged for ties and therefore do not correspond exactly to Tables 2, 3, and 4. This does not affect relative position.

Chapter 4

DISCUSSION OF THE RESULTS

This chapter opens with a look at groupings of characteristics in the final rank-order. From these groupings, we proffer a list of the 13 "most important" characteristics. We conclude with a discussion of several characteristics which merit individual attention.

Groupings

The overall rank-order (Table 5) displayed several distinct groups of characteristics. These groups are in evidence by the difference of the sum of ranks (last column, Table 5) between individual characteristics. For example, the difference between number 2 ranked Adaptability, and number 3 ranked Rational is 1.0, while the difference between Rational and number 4 ranked Verbal Skill is 9.0. Three groups in the top half of the overall rank-order emerged from making this observation. The three groups are:

1. Self-Confidence
2. Adaptability
3. Rational

4. Verbal Skill
5. Integrity
6. Experience
7. Self-Control
8. Realistic
9. Task Orientation

10. Planning Ability
11. Deliberate (tie)
11. Authority
12. Good Listener

The differences between the rank sums were relatively close within these groups, but clearly separate between the groups². We consider the characteristics comprising the three groups as the "most important" characteristics because of the consistency within each group and their rank positions relative to other groups.

Characteristics of Note

Ten characteristics merit individual discussion for various reasons. Some pertain to Air Force contracting officer selection criteria and others deserve mention because of inconsistent ranking or differences from other findings.

Self-Confidence. Self-confidence was ranked first or tied for that position by all three organizations. The sum of the ranks (Table 5) showed that self-confidence differed from the second characteristic by 5.5 units as opposed to an average difference between characteristics of 2.87. Self-confidence was clearly number 1 in this study and is supported in the general literature. As one respondent illustrated quite well: "If you don't believe you can negotiate, you shouldn't sit down at the table...[Appendix B]."

Integrity. Integrity ranked number 5 in the final listing of the characteristics and the comments pointed out that there is a grey area as to the exact meaning of the concept. Where is the dividing line between honesty and dishonesty? From the survey comments and Karrass' view (10:170-198) there did appear to be agreement on the following two points: (1) a negotiator should never lie, and (2) withholding information and presenting half-truths is acceptable. Apparently not all of the industry side, however, agrees with not lying. Fox cited a negotiation manual used by an organization that claims to have trained more than

²This fact should be remembered if one attempts to weigh relative importance of each characteristic.

14,000 representatives of leading firms. The quotation from that manual which follows points out how nebulous integrity can be:

Outright lies are used more often in negotiation than the average negotiator would care to admit. Obviously, neither side expects the other to tell the whole truth. If this were not so, then each would be expected to make known to the other all the information at its disposal including its minimum and maximum positions. Such a procedure would make negotiation impossible. Distinguishing between proper negotiation "puffing" and outright lies is very difficult, if not impossible, since any such determination would undoubtedly reflect the personal sense of "ethics" of the person making it. Even in the case of very "ethical" persons, their judgment as to whether or not a misstatement is a lie or a permissible negotiation technique is affected by whether they tell it or their opponent does [5:354].

And from another manual:

A negotiator must understand the principles of the game in which he is engaged and must appreciate the fact that complete "honesty" is neither desirable nor practicable...[5:351].

Experience. Experience, ranked number 6 overall, was ranked 7 by ASD, 11 by ESD, and 3 by SAMSO. The ASPR specifies experience as one criteria for selecting contracting officers (20: 1:73) and it would intuitively appear to be an important prerequisite. This characteristic is especially applicable to Air Force negotiators who operate within a complex system with many rules. The lower ranking given by ESD and the higher ranking given by SAMSO may be the result of the comment feedback from the first iteration survey. From ESD: "I have met government negotiators who have lots of experience but never really learned the art of negotiating...[Appendix B]." From SAMSO: "Experience is that ingredient that matures a negotiator [Appendix C]." The difference

between the ESD and SAMSO rankings might also be due to a higher experience level at SAMSO, but we do not have experience level information to support this point.

Education. Education was ranked number 24 by both ESD and SAMSO, and number 25 by ASD. Karrass' survey showed education ranked last out of a field of 8 in his Thought Group (10:141). The opinion that a higher level of education would provide a better background and a broader perspective of any negotiating situation and would be important does not appear to be true. Information about the education level of the respondents might provide a clue for any explanation of the low ranking. Level of education is apparently perceived as not very important to Air Force negotiators.

Expertise. Expertise was ranked number 21 in the overall rank-order. Comments from respondents indicated that Air Force negotiators rely heavily on a team of experts. The experts are representatives from the legal, engineering, accounting and pricing professions. The reliance on experts apparently resulted in the low ranking of expertise. The ranking also illustrates a reason for a research limitation involving a buyer's view and a seller's view of characteristic importance. In the Task-Performance Group of Karrass' rank-orders, suppliers ranked product knowledge number 2 while buyers ranked it number 4 (10:140). The lower ranking by buyers agrees with our findings. Another point is that a team of experts require a leader to direct and coordinate their efforts to the negotiating problem at hand. The buyers in Karrass' Aggression Group ranked team leadership number 1 while the suppliers ranked it number 4 (10:140).

Planning Ability. Planning ability was ranked number 10 overall. The characteristic was ranked by ESD, SAMSO, and ASD as numbers 7, 13, and 10 respectively. The literature, however, placed strong

emphasis on this characteristic. The comments received reflect the differences in the rankings. The comments acknowledged that planning was very important, but indicated that the Air Force negotiator does not have the proper time for planning. Also emphasized in the comments was the amount of contingencies that spoil plans and the resulting need for more flexibility.

Self-Control. Self-control, ranked number 7 overall, was ranked quite differently by SAMSO (number 11) and ESD (number 3). The comments do not reveal any reasons for this difference. However, the comments did show an interesting interpretation of self-control by the respondents. Self-control was apparently related to acting ability for tactical purposes.³ Using a hard or soft approach convincingly, bluffing, and purposeful displays of emotion were commented upon as being quite important. The appropriate summary comment for this characteristic: "Negotiation is akin to poker playing [Appendix C]."

High Expectations. High expectations was ranked low (number 20) by the respondents but was shown to be a vital characteristic by Karrass. In his experiment involving negotiating situations where the outcomes were measured, he found that persons with aspirations higher than their opponents came out winners in every case regardless of the amount of skill and power they possessed (10:17). The results of the survey and Karrass' experiment are quite contradictory. Although the exact reason may never be known, the most probable reason stems from the ASPR. Government negotiators are directed by ASPR to be "fair and reasonable" in their objective (20: 3:120). Air Force negotiators might think that high expectations violate the ASPR directive. If one "shoots for the moon" and gets it, is it "fair and reasonable"?

³See Appendix B

Status. Status was ranked number 26 on the list unanimously by all three organizations. A higher status implies more power, influence, and authority which would appear to give a negotiator an edge. Fox (5:357) holds this view and gives status more emphasis than these survey results. The survey respondents ranked Authority number 11, but they apparently do not associate status with authority. The status comments indicated a slight resentment that status should even be considered, while at the same time endorsing authority as highly desirable. Most Air Force negotiators are not contracting officers (13;14) and do not have the authority to sign the contract. Their authority is de facto in that they represent the contracting officer. The comments indicated that they believe their authority is real and substantial. It was, however, surprising that authority and status were so far apart in the rank-order.

Chapter 5

CONCLUSIONS AND SUGGESTIONS FOR FURTHER RESEARCH

Conclusions

There is a significant consistency between Air Force contract negotiators of different organizations in their perceptions of relative importance of negotiator personal characteristics. The high correlation between the rank-orders from the three organizations of AFSC should provide confidence for the use of the final rank-order (Table 5) in the selection and training of all DoD negotiators. Since DoD negotiators operate under the same rules (ASPR) and usually all represent the "buyer" side of the market for the government, the research findings would be applicable to the entire DoD. Due to a lack of adequate measures of these characteristics, their use should be limited to subjective evaluation and consideration in the selection process. Utilization of the characteristics for negotiator training, however, should be maximized and encouraged by supervisors and instructors.

Suggestions For Further Research

Our most pressing question after the research was underway was in the area of terminology. Are the personal characteristics listed in this study the best terms to use for the general interpretation of the characteristics? For example, is rational a better term than judgment? Should the term communicative ability have been used instead of verbal skill? Novak and Whitley's questionnaire with its given characteristics was accepted in order to answer the question of consistency of their findings. Their personal characteristic terms may well be the "best", but we are not sure. Some terms overlap in meaning such as realistic, rational, and deliberate. Perhaps other terms should have

been included such as intelligence, appearance, maturity, humor, and common-sense. A single research effort could be devoted to this subject. The results would be a major contribution to future study of negotiation as well as in many other fields.

If appropriate descriptive terms for negotiator characteristics can be found, other areas should be explored. The following questions indicate potential topics:

1. Do negotiators of opposing sides perceive relative importance of negotiator characteristics differently? Examples of opposing sides are buyer-seller, government-industry, male-female, and labor-management.

2. Do negotiators of different industries perceive relative importance of negotiator characteristics differently?

3. What kind of test can best measure these characteristics?

4. Can these characteristics be applied to successful managers?

5. Are there correlations between having a certain characteristic and having or not having certain others?

6. Can consistent "winners" be differentiated from "losers" and tested for characteristics?

7. Can just a few important characteristics be correlated with successful negotiators?

8. What is a "successful" negotiator?

The questions listed above are important, but hinge on the foundation of consistent and reliable terminology. The most generally accepted term for each characteristic must first be established.

APPENDIX A
FIRST ITERATION QUESTIONNAIRE

DEPARTMENT OF THE AIR FORCE
AIR FORCE INSTITUTE OF TECHNOLOGY (AU)
WRIGHT-PATTERSON AIR FORCE BASE, OHIO 45433



REPLY TO
ATTN OF: AFIT/SLGR (SLSR 16-77A/Capt Bearden/Capt Chipman
AUTOVON 787-3106)
SUBJECT: Survey of Negotiator Personal Characteristics

TO: Respondent

1. The attached questionnaire was prepared by a research team at the Air Force Institute of Technology, Wright-Patterson AFB, Ohio. The purpose of the questionnaire is to determine the relative importance of personal characteristics of successful Air Force contract negotiators. The information is needed to improve negotiator selection criteria, training, and to aid in other research efforts.

2. You are requested to provide a response to each question. Headquarters USAF Survey Control Number 77-45 has been assigned to this questionnaire. Your participation in this research is voluntary.

3. Your responses to the questions will be held confidential. Please remove this cover sheet before returning the completed questionnaire. Your cooperation in providing this data will be appreciated and will be very beneficial in evaluating successful contract negotiator characteristics. Please return the completed questionnaire in the attached envelope within one week after receipt.

A handwritten signature in cursive script, reading "Henry W. Parlett", is positioned above the typed name.

HENRY W. PARLETT, Colonel, USAF
Associate Dean for Graduate
Education
School of Systems and Logistics

2 Atch
1. Questionnaire
2. Return Envelope

SURVEY
of
NEGOTIATOR PERSONAL CHARACTERISTICS

USAF SCN 77-45 (Expires 30 June 1977)

PRIVACY ACT STATEMENT

In accordance with paragraph 30, AFR 12-35, the following information is provided as prescribed by the Privacy Act of 1974.

- a. This survey information is authorized for solicitation under 5 USC 301, 10 USC 8012, DOD Instruction 1100.13 and AFR 30-23.
- b. The purpose of this study is to rank-order the personal characteristics of selected Air Force contract negotiators in terms of relative importance.
- c. Results of the research, based on the data provided, will be included in written master's theses and may also be included in published articles, reports, or texts. Distribution of the results of the research, based on the survey data, whether in written form or presented orally, will be unlimited.
- d. Furnishing the information is entirely voluntary.
- e. No adverse action may be taken against any person who elects not to complete this survey.

INSTRUCTIONS

The following questions are similar to a managerial job evaluation. A list of potentially important traits and influences for negotiators is included. However, the best sources of information are the people currently serving as Air Force contract negotiators.

This questionnaire is the first of two, possibly three, rounds you will be asked to complete, and should take approximately 30 minutes to complete. The subsequent round(s) will provide additional anonymous consensus information to you based on the previous round. Since anonymity is also necessary on your part, we request you refrain from discussing your participation with other contract negotiators.

Please mark an X in the appropriate box following each question which best reflects your opinion of the importance of the attribute to a successful Air Force contract negotiator. A blank space is provided after each question in which you may, at your option, explain your reason(s) for evaluating the attribute as you did.

Following question 27 is a blank space in which you may describe additional traits or influences which have been omitted in the questionnaire and which you feel are important.

1. PATIENCE--The ability of the negotiator to calmly tolerate delay tactics used by his opponent and to tolerate his own peoples' shortcomings in the negotiation process.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

2. SELF-CONFIDENCE--The belief of the negotiator in his own abilities as to being able to successfully negotiate the contract or his part of the contract.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

3. SELF-CONTROL--The ability of the negotiator to control his emotions during the negotiation process.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

4. INTEGRITY--The degree to which the negotiator presents all facts honestly and completely and does not present half-truths or false information to better his position.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

5. RATIONAL--The ability of the negotiator to reason or think through his views versus his opponents' views and to arrive at a logical and best conclusion.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

6. EMPATHY--The ability of the negotiator to emotionally identify with his opponents' position in the negotiation and to give him a fair contract.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

7. GOOD LISTENER--The attentiveness of the negotiator to hear out his opponent and to completely understand what his opponent is saying.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

8. VERBAL SKILL--The ability of the negotiator to communicate exactly his thoughts to his opponent in a manner that is receptive to the opponent.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

9. DELIBERATE--The ability of the negotiator not to be pressured into closing a contract swiftly without looking into all facets of the contract.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

10. PERSUASIVE--The ability of the negotiator to cause or convince his opponent to believe something.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

11. PLANNING ABILITY--The degree to which the negotiator carefully preplans his course of action before the actual negotiation.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

12. EDUCATION--The degree to which college education (i.e., Baccalaureate degree, Master's degree, etc.) enables the negotiator to more successfully negotiate a contract.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

13. EXPERTISE--How well the negotiator knows the product or service that he is negotiating to purchase.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

14. AUTHORITY--The degree to which the negotiator can on his own change or make decisions that pertain to the contract.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

15. HIGH EXPECTATIONS--The degree to which the negotiator is confident that he can achieve his present negotiation goals.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

16. SKEPTICISM--The ability of the negotiator to question information presented to him to insure that he is getting the truth.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

17. REALISTIC--The ability of the negotiator to face facts and to use these facts to reach an agreement on a position.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

18. SELF-ESTEEM--The degree to which a negotiator respects himself to be equal or better than his opponent.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

19. STATUS--The ability of the negotiator to influence the negotiation process by virtue of his rank or hierarchial position in the organization.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

20. SENSE OF TIMING--The ability to know when to invoke certain strategies to gain advantage of his opponent.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

21. BELIEFS--The experiences of a person's past (i.e., religious convictions, marital status, etc.) that might influence a negotiator's performance.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

22. TACTFULNESS--The ability of the negotiator to say something to his opponent or his coworkers without offending them.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

23. EXPERIENCE--The amount of practical knowledge gained through personal participation in actual negotiations.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

24. ADAPTABILITY--The ability of the negotiator to react (i.e., to think on his feet) to the changing circumstances of the on-going negotiation process.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

25. ACADEMIC DISCIPLINE--The extent to which the type of college education (i.e., Business Administration, History, Philosophy, Engineering, etc.) enables the negotiator to more successfully negotiate a contract.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

26. TASK ORIENTATION--The degree to which the negotiator understands and is dedicated toward achieving procurement objectives; i.e., a fair and reasonable price for the USAF.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

27. REPUTATION--The degree to which the reputation of the negotiator for his fairness and strength in negotiating extends toward influencing the final outcomes of the negotiation.

0

1

2

3

4

5

Low
Importance/
No Influence

Desirable

Important

Vital

COMMENTS:

APPENDIX B
SECOND ITERATION QUESTIONNAIRE
ESD

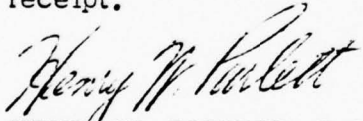
DEPARTMENT OF THE AIR FORCE
AIR FORCE INSTITUTE OF TECHNOLOGY (AU)
WRIGHT-PATTERSON AIR FORCE BASE, OHIO 45433



REPLY TO
ATTN OF: AFIT/SLGR (SLSR 16-77A/Capt Bearden/Capt Chipman
AUTOVON 787-3106)
SUBJECT: Survey of Negotiator Personal Characteristics

TO: Respondent

1. The attached questionnaire was prepared by a research team at the Air Force Institute of Technology, Wright-Patterson AFB, Ohio. The purpose of the questionnaire is to determine the relative importance of personal characteristics of successful Air Force contract negotiators. The information is needed to improve negotiator selection criteria, training, and to aid in other research efforts.
2. You are requested to provide a response to each question. Headquarters USAF Survey Control Number 77-45 has been assigned to this questionnaire. Your participation in this research is voluntary.
3. Your responses to the questions will be held confidential. Please remove this cover sheet before returning the completed questionnaire. Your cooperation in providing this data will be appreciated and will be very beneficial in evaluating successful contract negotiator characteristics. Please return the completed questionnaire in the attached envelope within one week after receipt.


HENRY W. PARLETT, Colonel, USAF
Associate Dean for Graduate
Education
School of Systems and Logistics

2 Atch
1. Questionnaire
2. Return Envelope

SURVEY
of
NEGOTIATOR PERSONAL CHARACTERISTICS

USAF SCN 77-45 (Expires 30 June 1977)

PRIVACY ACT STATEMENT

In accordance with paragraph 30, AFR 12-35, the following information is provided as prescribed by the Privacy Act of 1974.

a. This survey information is authorized for solicitation under 5 USC 301, 10 USC 8012, DOD Instruction 1100.13 and AFR 30-23.

b. The purpose of this study is to rank-order the personal characteristics of selected Air Force contract negotiators in terms of relative importance.

c. Results of the research, based on the data provided, will be included in written master's theses and may also be included in published articles, reports, or texts. Distribution of the results of the research, based on the survey data, whether in written form or presented orally, will be unlimited.

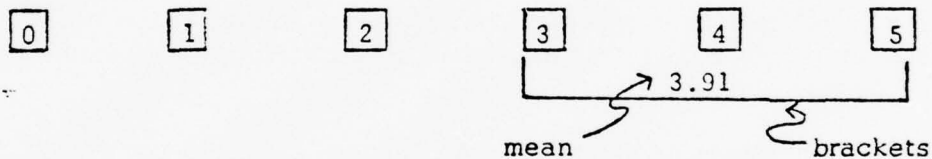
d. Furnishing the information is entirely voluntary.

e. No adverse action may be taken against any person who elects not to complete this survey.

We wish to sincerely thank you for your cooperation and time spent in completing these questionnaires. The information gained may be very useful in training, improving negotiation techniques, and future research.

INSTRUCTIONS

The following questionnaire is the second and last round you will be asked to participate in and should take you approximately 30 minutes to complete. The objective of this second questionnaire is to bring your responses into closer groupings and reach a better consensus in accordance with the statistical delphi methodology. We still want your opinion, but this time you will have additional information to help you choose your response. Information included is the mean response for each characteristic and a bracketed area showing where at least 50 per cent of the responses fell. For example:

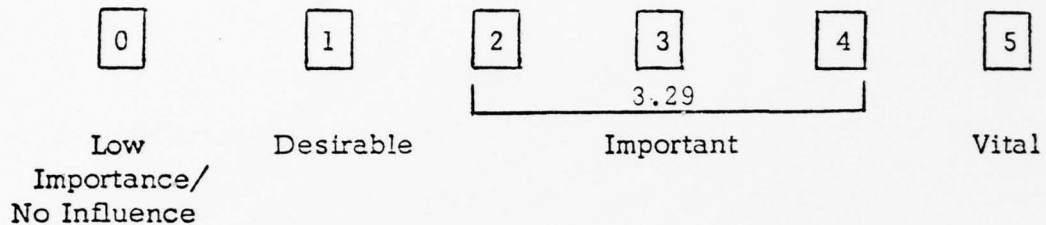


Also included are comments from the first round. These comments are "food for thought" items which may or may not help you to choose your response.

Please mark an X in the appropriate box following each characteristic which best reflects your opinion of the importance of the characteristic to a successful Air Force negotiator.

If your answer does not fall within the bracketed area, you may, at your option, explain your response in the comments section.

1. PATIENCE--The ability of the negotiator to calmly tolerate delay tactics used by his opponent and to tolerate his own peoples' shortcomings in the negotiation process.



COMMENTS:

"In case of delay by other negotiating party, calm and tolerance may not always be appropriate!"

"Too much tolerance weakens the negotiator in the eyes of the contractor. An exhibition of good shortcomings in front of a contractor should not be tolerated."

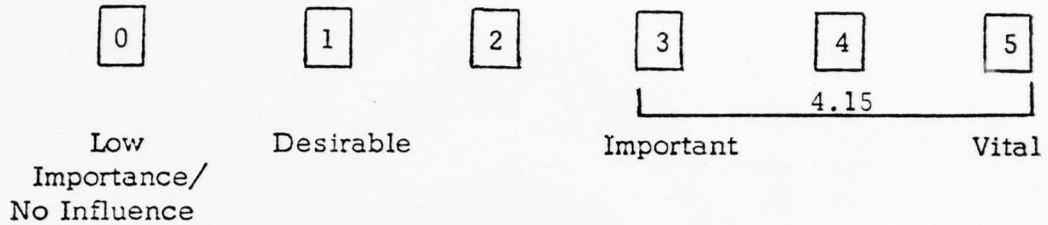
"...could handle opponent's delay tactics...would not permit my own peoples' shortcomings to be evidenced in negotiations."

"A show of intolerance breeds lack of respect for the negotiator by opponents and his own team."

"While there are times for such patience, being overly patient could be a shortcoming in a negotiator. Most contractors will 'push you around' to the full extent that you will tolerate it."

"Program managers are schedule oriented and therefore pressure procurement to get 'on-contract' as soon as possible. A delay in negotiations would affect the day the Program Manager said we would be on-contract. Therefore, it is easier to make everyone happy by 'caving in' to a contractor who uses delay tactics."

2. SELF-CONFIDENCE--The belief of the negotiator in his own abilities as to being able to successfully negotiate the contract or his part of the contract.



COMMENTS:

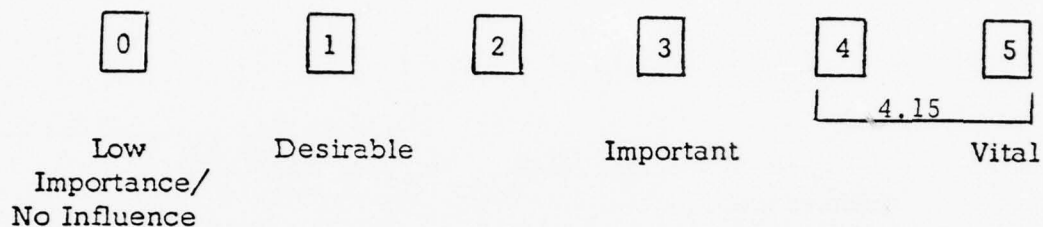
"You do not want to project a picture of a 'loser' to the contractor."

"A certain degree of self-confidence is necessary; however, over-confidence can lead to a lack of belief in the negotiator on the part of others."

"The negotiator must be able to exude confidence at the negotiation table if he is to be successful."

"If you don't believe that you can negotiate, you shouldn't sit down at the table as chief negotiator."

3. SELF-CONTROL--The ability of the negotiator to control his emotions during the negotiation process.



COMMENTS:

"Self control is a must, and if absent, the person should relegate negotiation of some portions to another person (or get a different job)!"

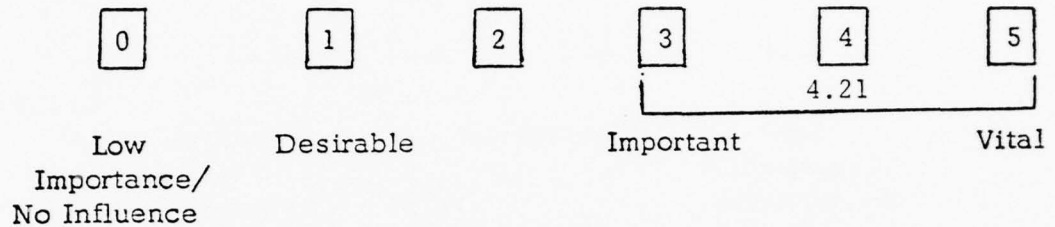
"Some emotional 'outbursts' are necessary in certain situations for emphasis; however, generally, the thought process works more smoothly and effectively when emotions are under control."

"Occasional displays of emotion may serve a useful purpose... but again, such displays should be done under control."

"Emotions that can be controlled can result in a successful negotiation. Controlled emotion (i.e., using the soft or hard approach without revealing a bluff) is important."

"There are, however, times when apparently honest emotion can serve to signal the opponent that a particular area is of key importance and thus lower his expectation to make gains in that area."

4. INTEGRITY--The degree to which the negotiator presents all facts honestly and completely and does not present half-truths or false information to better his position.



COMMENTS:

"A negotiator does not, however, volunteer his strengths and weaknesses (facts) to an opposing party. But he, or none of his team, should ever lie!"

"I do not believe in lying, it has a habit of coming back to haunt you. I would not hesitate to withhold information to gain my objective."

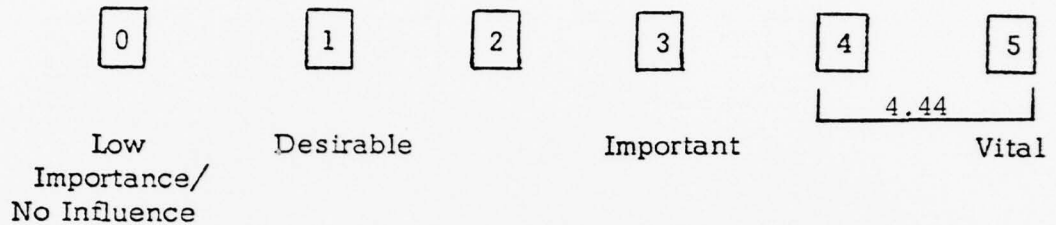
"While I have never knowingly misled a contractor, I should point out that it is extremely difficult to maintain one's integrity in the face of deliberate falsification by one's opponent...a not infrequent happening."

"If a negotiator gets a reputation as being honest and presents all facts and no half-truths or false information he is a lousy negotiator."

"The use of only favorable arguments (which some might call half-truths) is in my opinion an acceptable tactic. However, it is imperative that you never lie."

"There is a grey area where each side may withhold opinion information on subjective areas to best support his objective."

5. RATIONAL--The ability of the negotiator to reason or think through his views versus his opponents' views and to arrive at a logical and best conclusion.



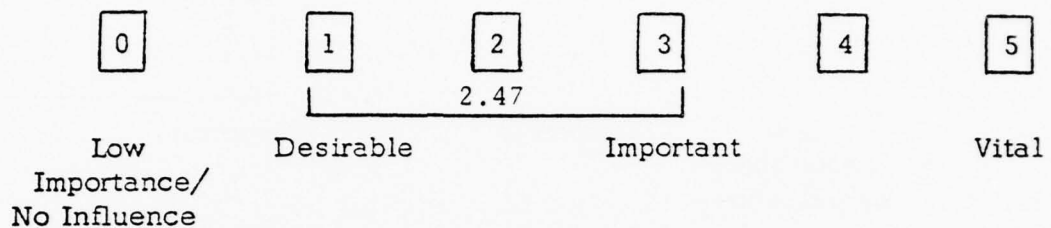
COMMENTS:

"A negotiator may get some help in this area with his team (of experts)."

"Absolutely necessary to conduct successful negotiations on a regular basis. This is often difficult to accomplish because of lack of experience of individuals on both sides, i.e., government negotiator without experience in industry."

"A negotiator must be able to work with his opponent to attain the common goal: a contract."

6. EMPATHY--The ability of the negotiator to emotionally identify with his opponents' position in the negotiation and to give him a fair contract.



COMMENTS:

"Perhaps more important than the emotional identification is the correct rational assessment of the contractors' business position and the overall direction a particular contractor may be pursuing in a particular situation. I'd call that analytical ability rather than empathy."

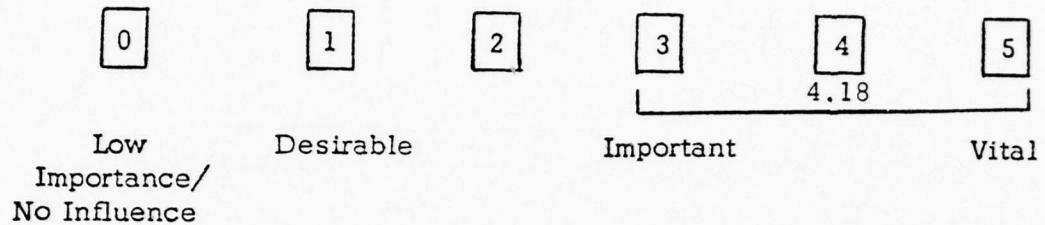
"Ability to identify emotionally cannot be as important as understanding."

"I do not believe the negotiator should become 'emotionally' involved in the opponents' position. I do believe in negotiating a fair contract."

"There should be no attitude on the part of the negotiator that his opponent is giving him a sob story and therefore he should 'stick' it to him."

"A fair contract is very important, but too much empathy with an opponent's position invites snow jobs."

7. GOOD LISTENER--The attentiveness of the negotiator to hear out his opponent and to completely understand what his opponent is saying.



COMMENTS:

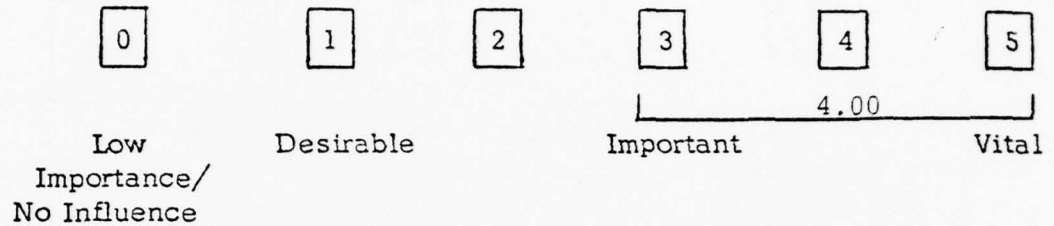
"Sometimes 'not being able to understand' is a good tactic."

"Generally this is important but quite often an opponent must be advised that you will listen to the extent that his comments are pertinent to the issues."

"If you want your opponent to listen to you, you should at least listen to him."

"The communication of thoughts, ideas, etc. is essential. It is not necessary for the chief negotiator to understand everything himself, but to make sure that team members do."

8. VERBAL SKILL--The ability of the negotiator to communicate exactly his thoughts to his opponent in a manner that is receptive to the opponent.



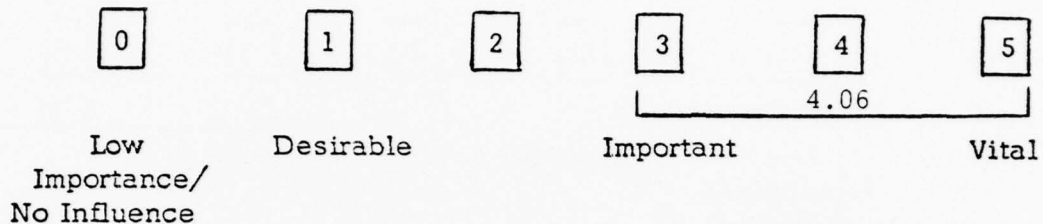
COMMENTS:

"A negotiator works with words, so his skill in this area is almost imperative."

"Communication is very important to insure agreement is, or is not, being reached."

"The ability to communicate is important, but of more importance is to talk in his language, i.e., don't try to downgrade or humiliate him."

9. DELIBERATE--The ability of the negotiator not to be pressured into closing a contract swiftly without looking into all facets of the contract.



COMMENTS:

"Often a negotiator is a contracting officer and he must be sure there are no loose ends and that all aspects of a contract are acceptable."

"In my opinion there is far too much pressure to 'get on a contract.' "

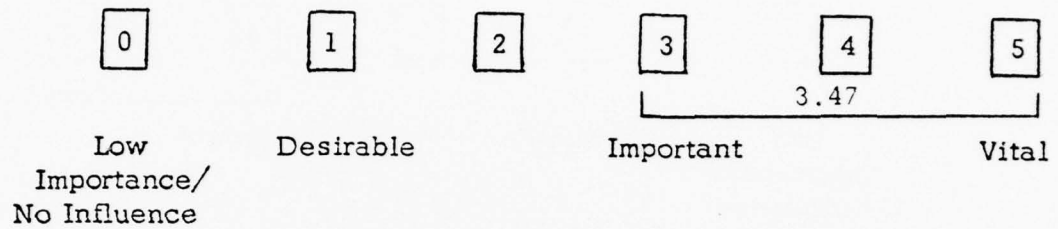
"Pressure to settle quickly is sometimes exerted by government procurement and program management."

"May not have time to look at all facets."

"Internal pressure is worse than contractor pressures."

"Being deliberate and not being rushed is important, but there is such a thing as being too deliberate. 'All facets of a contract' might involve more deliberation than is warranted."

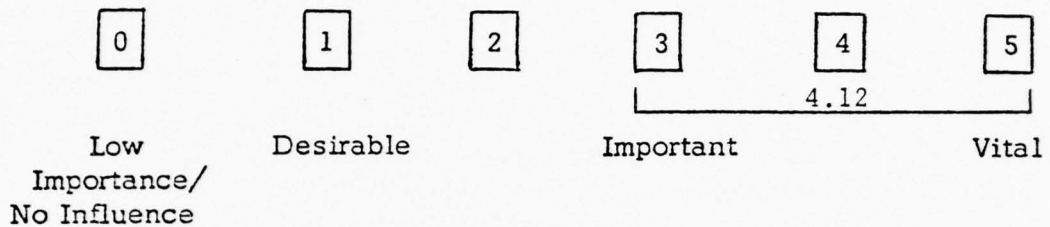
10. PERSUASIVE--The ability of the negotiator to cause or convince his opponent to believe something.



COMMENTS:

"This should be a 'fallout' of his integrity and word skill."

11. PLANNING ABILITY--The degree to which the negotiator carefully preplans his course of action before the actual negotiation.



COMMENTS:

"If you don't know where you want to go, chances are slim that you will get there. P P P P P = Poor Planning Produces Poor Progress."

"Very important, but ability to change midstream is often necessary due to changing circumstances."

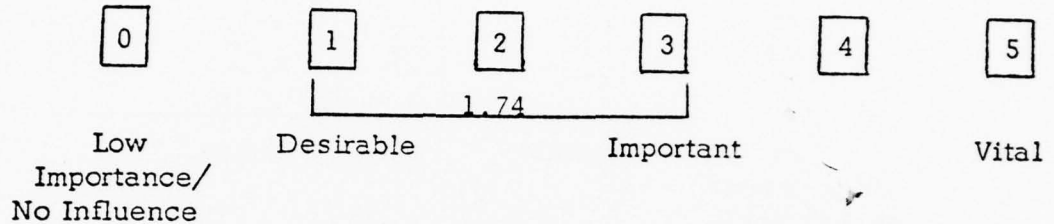
"Key."

"A negotiation team that goes into negotiation well-prepared will win out everytime."

"Schedule pressure and lack of manpower often prevent the extent of detailed preparation desirable to carefully consider all areas."

"Negotiations many times reveal situations requiring deviations from preplanned courses of action and the negotiator must be flexible. However, planning is primary in preparation, and I weigh good preparation heavily."

12. EDUCATION--The degree to which college education (i.e., Baccalaureate degree, Master's degree, etc.) enables the negotiator to more successfully negotiate a contract.



COMMENTS:

"Important to a point (that point being a college degree in business). An MBA is not necessary and experience is nearly as important."

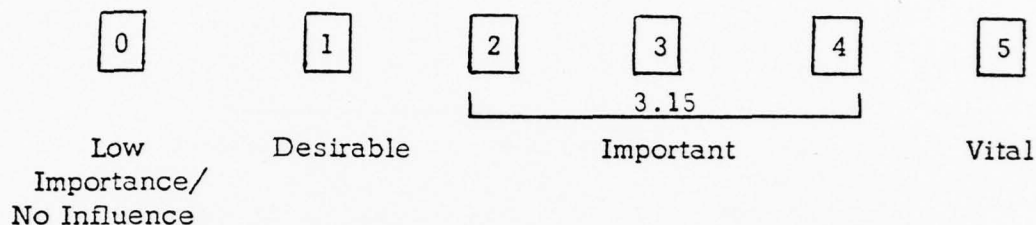
"A broad background (educational) is highly desirable but not necessarily essential."

"At this point in time there are many good negotiators without degrees. As time goes on and procurements become more and more complex the emphasis will shift to this area."

"Degrees alone cannot be a guarantee of successful negotiation. Degrees are useful to the extent that education increases knowledge, comprehension and logical reasoning."

"Only to the extent that it increases self-confidence, or develops the classical 'logical' thinking processes, or improves communicative techniques."

13. EXPERTISE--How well the negotiator knows the product or service that he is negotiating to purchase.



COMMENTS:

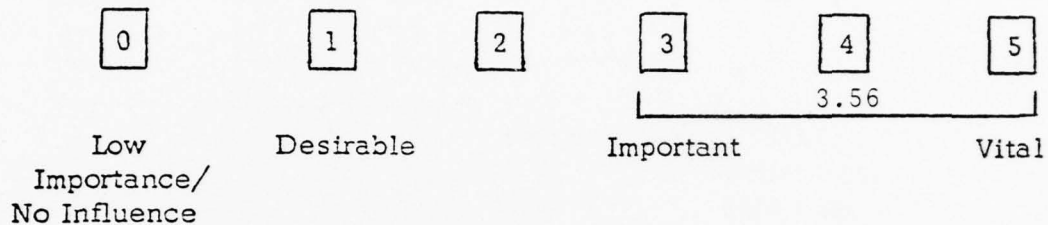
"One must have reliance on technical personnel who know the product intimately."

"The contract negotiator does not necessarily need personal expertise in a field provided he has the proper support."

"This ties into skill in controlling discussion and using your own team's skills. Sometimes the apparent lack of knowledge helps, i.e., 'I'm just a slow country boy; please explain it to me again.' In re-explaining, something may come up that sheds more light on another area."

"The negotiator is a team leader, and it is vital for members of the team to know products/services. I have found, however, that the more I know about the product, the more I can contribute in technical discussions."

14. AUTHORITY--The degree to which the negotiator can on his own change or make decisions that pertain to the contract.



COMMENTS:

"If you can only relay orders or positions, you are a communicator, not a negotiator."

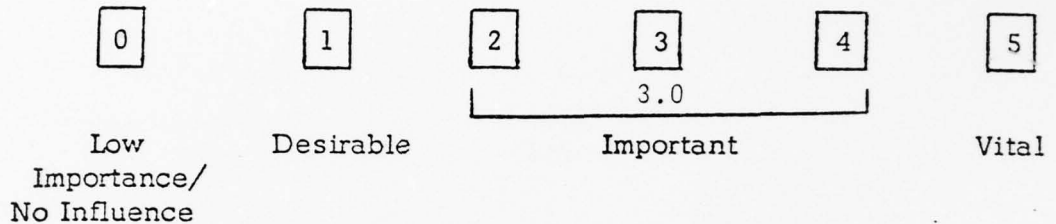
"Opponents will not agree on important issues if they can seek higher authority."

"If the negotiator is not in a position to make changes or decisions he will rapidly lose the respect of his opponent who will seek a higher authority to obtain a decision."

"The government system tends to limit this and we pay more as a result. 'Requirements' are given to a negotiator as firm, yet the government might be better off with flexibility. Pre-negotiation reviews and approvals are for a certain contract type and certain pricing. Aggressive or innovative procurement actions in negotiation such as a change in contract type are therefore unlikely. When a using command insists that a system must have a certain operational availability, i.e., 99% of the time, the negotiator does not have the authority to change the over-specifications."

"Most negotiators for both sides (government and industry) report results and have dollar limits, etc. It is recognized, therefore, that the negotiator is not the sole authority (but level of authority is important)."

15. HIGH EXPECTATIONS--The degree to which the negotiator is confident that he can achieve his present negotiation goals.



COMMENTS:

"This is a relative factor and depending upon how realistic the goals are, high expectations could become dysfunctional and preclude necessary compromise."

"If negotiation goals are realistic, it is important to believe in yourself or you may fall short."

"High expectations can lead to a position locked in concrete--one that is unbending."

"It is more important that the goals achieved satisfy both parties."

"Aspiration level determines success in a purely competitive negotiation."

"Negotiation goals are derived through preparation and through confidence in your team's ability. A negotiator should believe in these goals."

AD-A045 213

AIR FORCE INST OF TECH WRIGHT-PATTERSON AFB OHIO SCHO--ETC F/G 5/9
PERSONAL CHARACTERISTICS OF AIR FORCE CONTRACT NEGOTIATORS.(U)

JUN 77 J G BEARDEN, J C CHIPMAN

AFIT-LSSR-16-77A

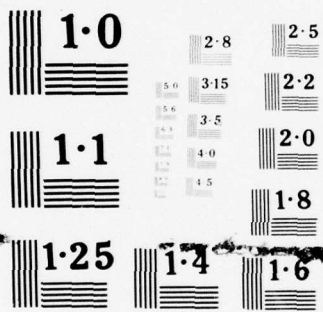
NL

UNCLASSIFIED

2 OF 2
ADA
045213

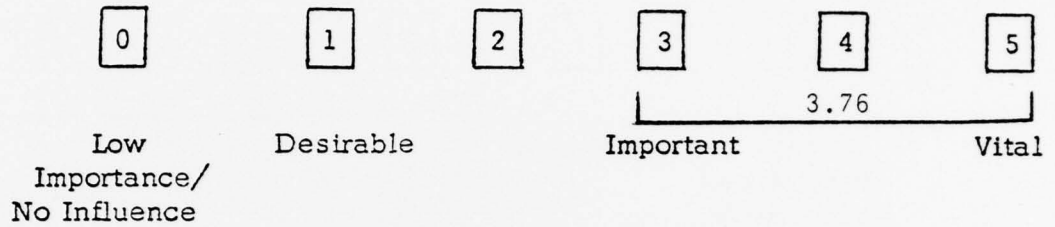


END
DATE
FILMED
11-77
DDC



NATIONAL BUREAU OF STANDARDS
MICROCOPY RESOLUTION TEST CHART

16. SKEPTICISM--The ability of the negotiator to question information presented to him to insure that he is getting the truth.



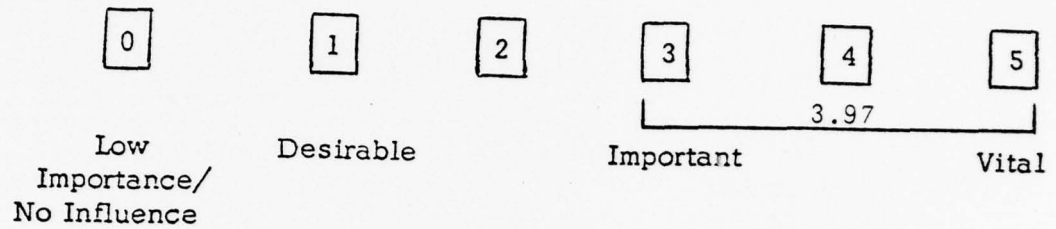
COMMENTS:

"Skeptics often do make good negotiators."

"Too much skepticism may be dysfunctional by creating mistrust in place of mutual respect."

"This depends upon the negotiator's own techniques and those of the other side. I feel an honest, open approach by both sides."

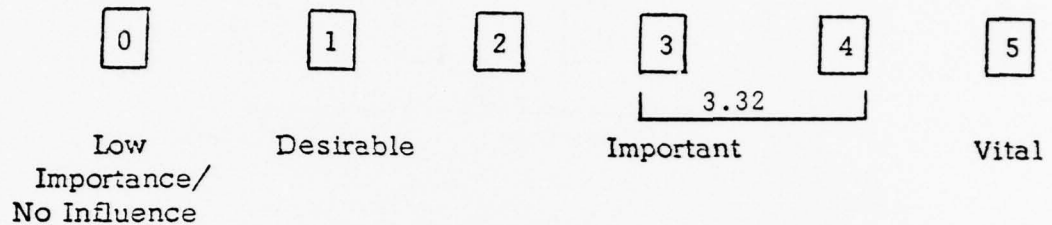
17. REALISTIC--The ability of the negotiator to face facts and to use these facts to reach an agreement on a position.



COMMENTS:

"Without this ability, a person would probably not be a successful as a negotiator."

18. SELF-ESTEEM--The degree to which a negotiator respects himself to be equal or better than his opponent.



COMMENTS:

"True for humility! We are often dealing with industry's best."

"This is necessary to some extent to keep a negotiator from being in a 'defensive' mode."

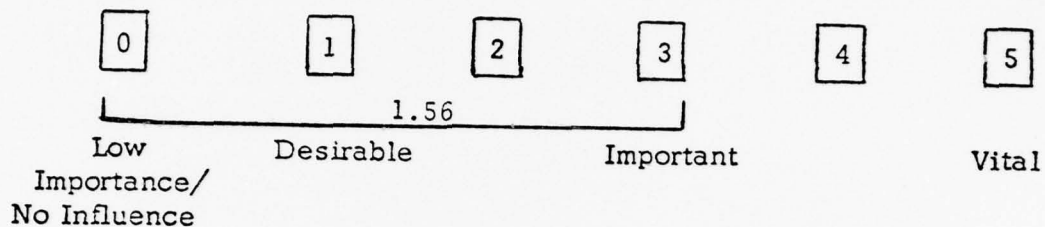
"To look down on one's opponent in terms of respect for the individual is not desirable, but to believe that you can successfully deal with him is important."

"A negotiator should have enough respect for himself to be equal. To feel better than an opponent may shift the negotiations into a position of talking down to an individual."

"Better to know thyself."

"A low self-esteem could cause better preparation and produce a better negotiator where a high self-esteem (overconfident) negotiator might lose through lack of preparation."

19. STATUS--The ability of the negotiator to influence the negotiation process by virtue of his rank or hierarchial position in the organization.



COMMENTS:

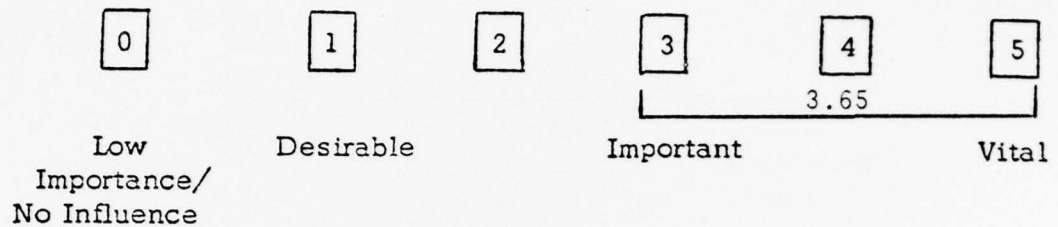
"This ability should be based upon the other necessary skills, not rank or position!"

"If the negotiator is given the proper authority to conduct negotiations and reach agreements, then this should be sufficient to influence the process."

"Rank or hierarchial position should not influence a negotiation. If this is utilized then negotiations may actually become an 'edict.'"

"Often escalation of the negotiation to a higher level in your opponent's organization will produce moves which the lower level negotiator did not have authority to make."

20. SENSE OF TIMING--The ability to know when to invoke certain strategies to gain advantage of his opponent.



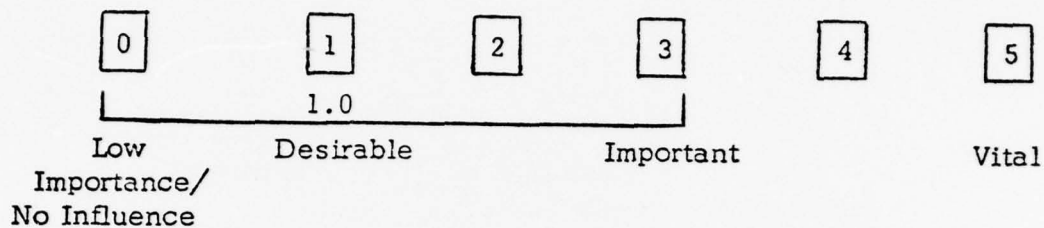
COMMENTS:

"'To gain advantage of his opponent' has a negative connotation. I assume this means to further your goals."

"The strengths of your position must be properly applied to obtain the advantages necessary for successful negotiations."

"The sense of timing is important; however, constant ploys to gain advantage may be counter-productive."

21. BELIEFS--The experiences of a person's past (i.e., religious convictions, marital status, etc.) that might influence a negotiator's performance.



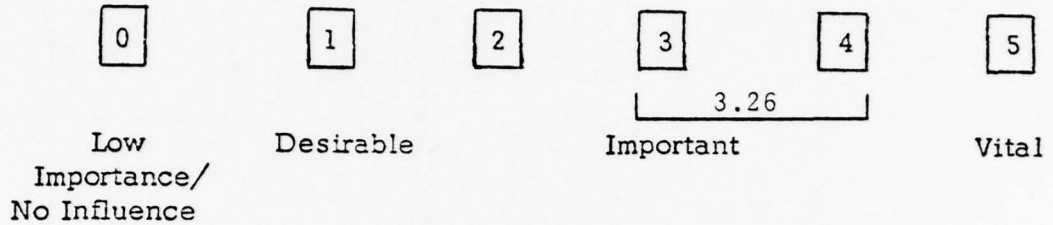
COMMENTS:

"A person is the sum of his training and all experiences, thus they are important in determining possession of the other traits listed."

"Experiences and beliefs in so far as they mold the character and behavior of a negotiator may exert strong influence."

"Perhaps more important than any of those mentioned above are the experiences of a person's past negotiations and beliefs resulting therefrom."

22. TACTFULNESS--The ability of the negotiator to say something to his opponent or his coworkers without offending them.



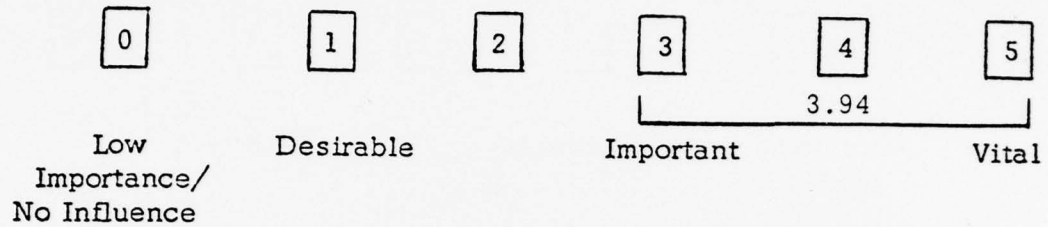
COMMENTS:

"This may be true; however, a legitimate negotiation tactic, if used carefully, is to get an opponent to 'lose his cool.' "

"Normally, but there may be a time for 'no tact' and direct confrontation in some situations. A negotiator must be flexible."

"Tactfulness is very important; however, at times a straightforward approach is necessary."

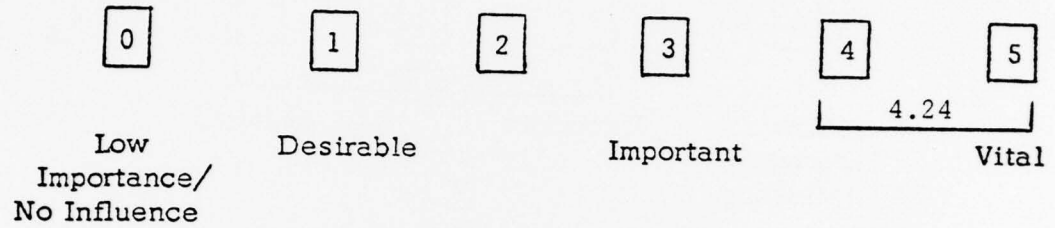
23. EXPERIENCE--The amount of practical knowledge gained through personal participation in actual negotiations.



COMMENTS:

"I have met government negotiators who have lots of experience but never really learned the art of negotiating due to lack of interest/apptitude....Someone can negotiate poorly for 20 years and never improve if he keeps doing it the same way and never gets training for technique improvement."

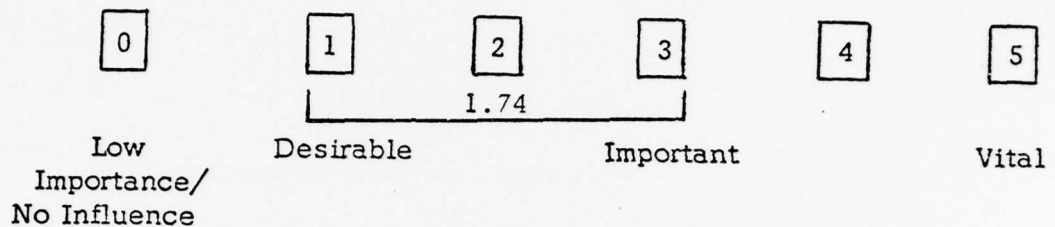
24. ADAPTABILITY--The ability of the negotiator to react (i.e., to think on his feet) to the changing circumstances of the on-going negotiation process.



COMMENTS:

"Important, but if a negotiator were a little weak in this area he could call an occasional caucus as necessary to offset this."

25. ACADEMIC DISCIPLINE--The extent to which the type of college education (i.e., Business Administration, History, Philosophy, Engineering, etc.) enables the negotiator to more successfully negotiate a contract.

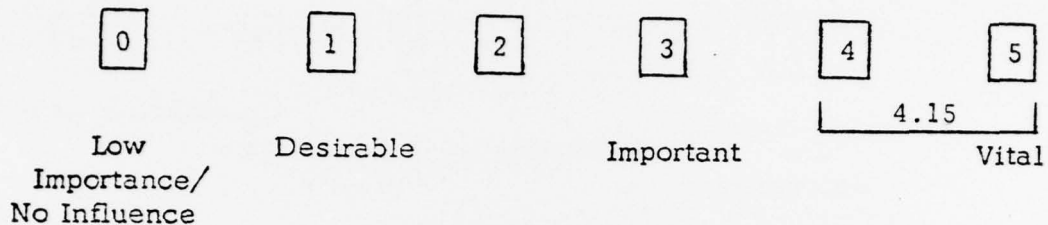


COMMENTS:

"I believe business adm. is most desirable, but whatever type of college education exists, intelligence, training and experience are necessities."

"Depends on individual characteristics more than formal courses."

26. TASK ORIENTATION--The degree to which the negotiator understands and is dedicated toward achieving procurement objectives; i.e., a fair and reasonable price for the USAF.



COMMENTS:

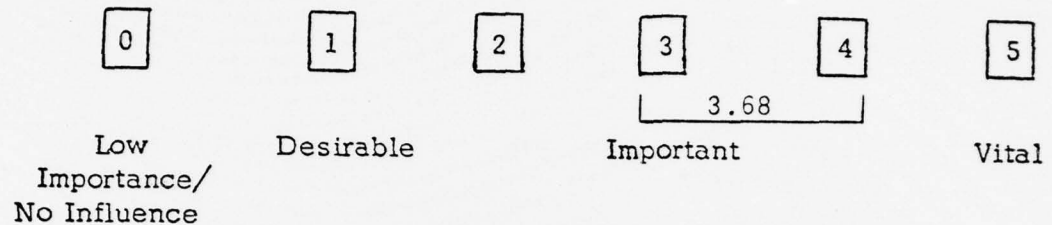
"In the government, this is a necessity by regulation and is required documentation; however, it requires a good grasp of the whole situation."

"Key."

"Sometimes in the competitive spirit I think government negotiators may feel that the best price they can get is O.K. even if it puts the contractor in a poor position. If the government negotiator is in a position of power he should not take advantage of a contractor by squeezing out dollars to the extent that the contractor does not make a reasonable profit."

"It's more than just being aware of the job to be done and the importance of doing it well. It also should involve an attitude of deep personal commitment, pride, and job satisfaction upon successful achievement of the objective."

27. REPUTATION--The degree to which the reputation of the negotiator for his fairness and strength in negotiating extends toward influencing the final outcomes of the negotiation.



COMMENTS:

"Reputation only comes over time. A negotiator may be good but he can't begin with a reputation. Fairness and integrity are very important. If strength means steadfastness or a tendency to be adamant, too much strength can get a negotiator boxed and 'strong' negotiators in the past have had to be replaced by realistic and adaptable negotiators."

"His reputation for any weaknesses probably has an even greater influence."

APPENDIX C
SECOND ITERATION QUESTIONNAIRE
SAMSO

DEPARTMENT OF THE AIR FORCE
AIR FORCE INSTITUTE OF TECHNOLOGY (AU)
WRIGHT-PATTERSON AIR FORCE BASE, OHIO 45433



REPLY TO
ATTN OF:

AFIT/SLGR (SLSR 16-77A/Capt Bearden/Capt Chipman
AUTOVON 787-3106)

SUBJECT:


Survey of Negotiator Personal Characteristics

TQ: Respondent

1. The attached questionnaire was prepared by a research team at the Air Force Institute of Technology, Wright-Patterson AFB, Ohio. The purpose of the questionnaire is to determine the relative importance of personal characteristics of successful Air Force contract negotiators. The information is needed to improve negotiator selection criteria, training, and to aid in other research efforts.

2. You are requested to provide a response to each question. Headquarters USAF Survey Control Number 77-45 has been assigned to this questionnaire. Your participation in this research is voluntary.

3. Your responses to the questions will be held confidential. Please remove this cover sheet before returning the completed questionnaire. Your cooperation in providing this data will be appreciated and will be very beneficial in evaluating successful contract negotiator characteristics. Please return the completed questionnaire in the attached envelope within one week after receipt.


HENRY W. PARLETT, Colonel, USAF
Associate Dean for Graduate
Education
School of Systems and Logistics

2 Atch
1. Questionnaire
2. Return Envelope

SURVEY
of
NEGOTIATOR PERSONAL CHARACTERISTICS

USAF SCN 77-45 (Expires 30 June 1977)

PRIVACY ACT STATEMENT

In accordance with paragraph 30, AFR 12-35, the following information is provided as prescribed by the Privacy Act of 1974.

a. This survey information is authorized for solicitation under 5 USC 301, 10 USC 8012, DOD Instruction 1100.13 and AFR 30-23.

b. The purpose of this study is to rank-order the personal characteristics of selected Air Force contract negotiators in terms of relative importance.

c. Results of the research, based on the data provided, will be included in written master's theses and may also be included in published articles, reports, or texts. Distribution of the results of the research, based on the survey data, whether in written form or presented orally, will be unlimited.

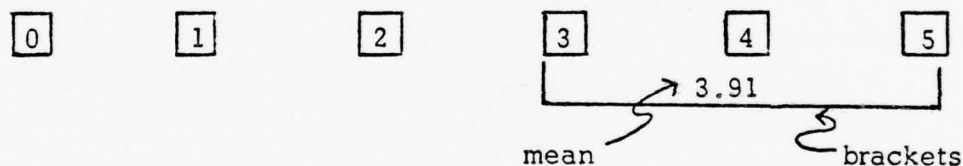
d. Furnishing the information is entirely voluntary.

e. No adverse action may be taken against any person who elects not to complete this survey.

We wish to sincerely thank you for your cooperation and time spent in completing these questionnaires. The information gained may be very useful in training, improving negotiation techniques, and future research.

INSTRUCTIONS

The following questionnaire is the second and last round you will be asked to participate in and should take you approximately 30 minutes to complete. The objective of this second questionnaire is to bring your responses into closer groupings and reach a better consensus in accordance with the statistical delphi methodology. We still want your opinion, but this time you will have additional information to help you choose your response. Information included is the mean response for each characteristic and a bracketed area showing where at least 50 per cent of the responses fell. For example:

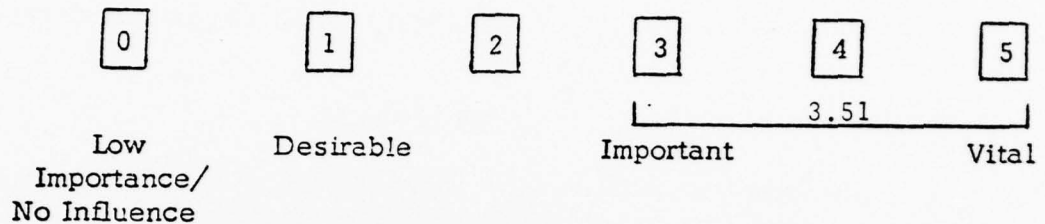


Also included are comments from the first round. These comments are "food for thought" items which may or may not help you to choose your response.

Please mark an X in the appropriate box following each characteristic which best reflects your opinion of the importance of the characteristic to a successful Air Force negotiator.

If your answer does not fall within the bracketed area, you may, at your option, explain your response in the comments section.

1. PATIENCE--The ability of the negotiator to calmly tolerate delay tactics used by his opponent and to tolerate his own peoples' shortcomings in the negotiation process.



COMMENTS:

"It is very important to tolerate shortcomings, but not to condone them."

"It is important to have patience with opponents' tactics but only to a point. Undue delay should not be allowed to occur. Patience with his own team's shortcomings, however, should not be required."

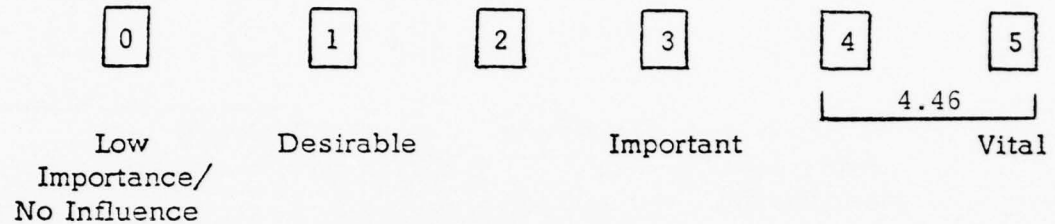
"Tolerate is not a good word--'cope with' would be better. We need not tolerate deliberate delay tactics."

"While there are times a negotiator must calmly tolerate delay tactics, he must, at other times, pursue an active policy of expediting negotiations."

"Needs judgement as to when to override the delay and move on in the negotiation."

"Patience is a virtue, particularly in negotiations. Within our timing constraints, we must learn to wait, wait, and wait."

2. SELF-CONFIDENCE--The belief of the negotiator in his own abilities as to being able to successfully negotiate the contract or his part of the contract.

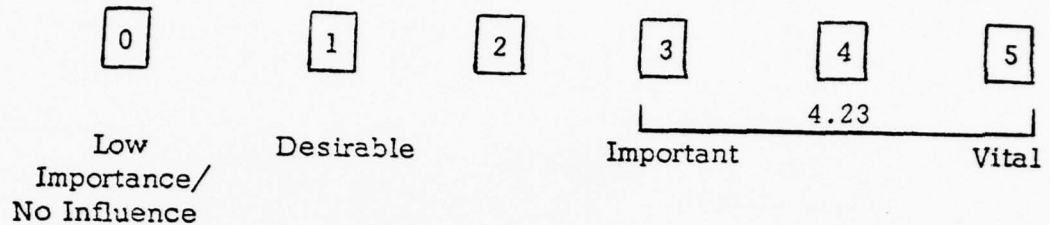


COMMENTS:

"Self-confidence and high aspiration go hand in hand."

"I would consider this to be the single most important characteristic since negotiating with contractors in front of sometimes many others is being 'on stage.' Under these circumstances a negotiator has to be confident in order to be positive, firm, and a leader."

3. SELF-CONTROL--The ability of the negotiator to control his emotions during the negotiation process.



COMMENTS:

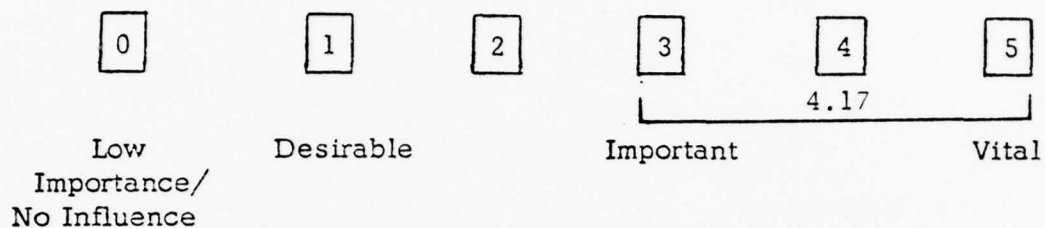
"The contract negotiator should also possess the ability to seemingly lose control of his emotions, yet still be in control, ... as a negotiation tactic."

"Some emotion is necessary for communicating issues. If you're right, you will be emotional to be convincing."

"The negotiator must inwardly be as objective and rational as possible. Inwardly, he must assess the situation as realistically as possible. Outwardly, some display of emotion might be used as a negotiation tactic."

"Negotiation is akin to poker playing."

4. INTEGRITY--The degree to which the negotiator presents all facts honestly and completely and does not present half-truths or false information to better his position.

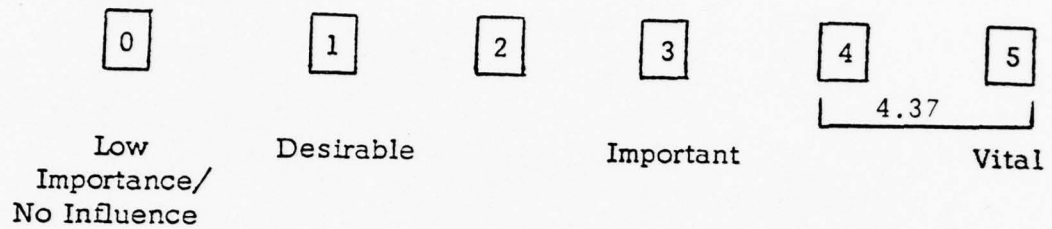


COMMENTS:

"There is a fine line between falsehood and twisting facts. True negotiators cannot be 100% truthful all the time."

"One does not have to go in with an unrealistically low position in order to reach a desired dollar amount."

5. RATIONAL--The ability of the negotiator to reason or think through his views versus his opponents' views and to arrive at a logical and best conclusion.

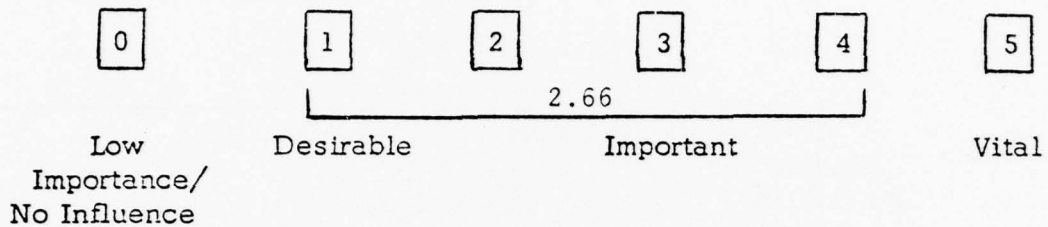


COMMENTS:

"Unfortunately there are times when even the most logical of conclusions are not going to change circumstances."

"A good negotiator must be rational and logical. He must be able to sift through the extraneous matters and get down to the core. Quickly."

6. EMPATHY--The ability of the negotiator to emotionally identify with his opponents' position in the negotiation and to give him a fair contract.



COMMENTS:

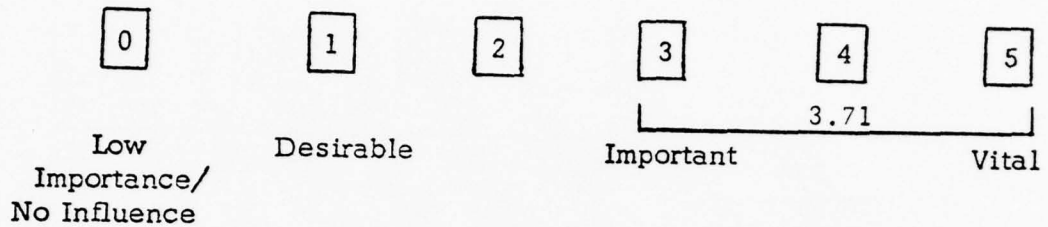
"Empathy is a desirable characteristic in any human to human interface. The danger is that excessive empathy can alter the initial negotiation objectives."

"A negotiator must be hardnose to some of the arguments given by contractors."

"A negotiator should not knowingly take advantage of the contractor nor should he be influenced by his opponents' emotional tactics."

"The negotiator should be able to understand his opponents' position, but he should not become so emotional as to let his emotions override his judgement."

7. GOOD LISTENER--The attentiveness of the negotiator to hear out his opponent and to completely understand what his opponent is saying.

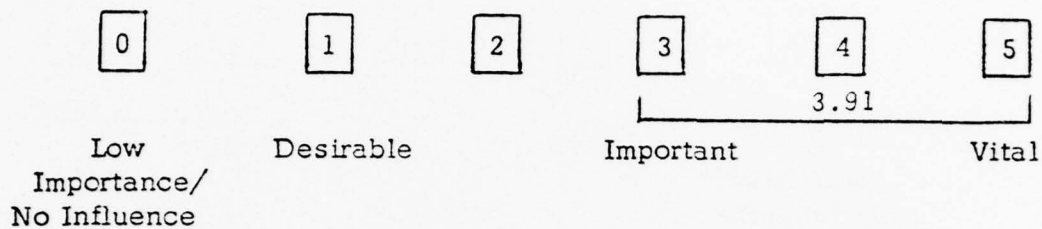


COMMENTS:

"You should appear to be a good listener, and there are times when you must be, but a lot of negotiations are bull."

"Being a good listener is great; however, if the opponent is verbose, it might do well to tune the opponent out. As a tactic, nothing frustrates the opponent more than for him to realize that all his oration has been for naught."

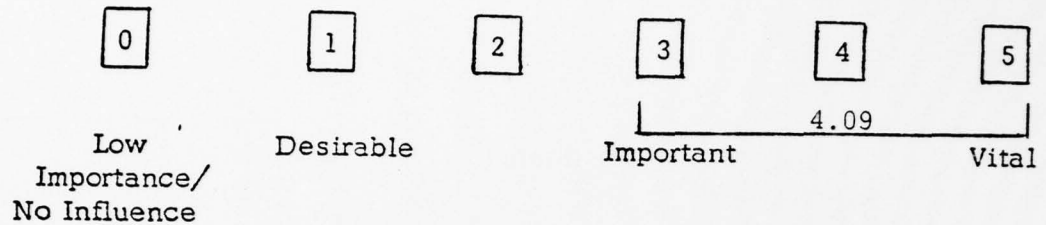
8. VERBAL SKILL--The ability of the negotiator to communicate exactly his thoughts to his opponent in a manner that is receptive to the opponent.



COMMENTS:

"A requisite quality, particularly in high value, complex procurements. This is the ability to state in a word or simple terms, rather than resorting to flowery but meaningless phrases."

9. DELIBERATE--The ability of the negotiator not to be pressured into closing a contract swiftly without looking into all facets of the contract.

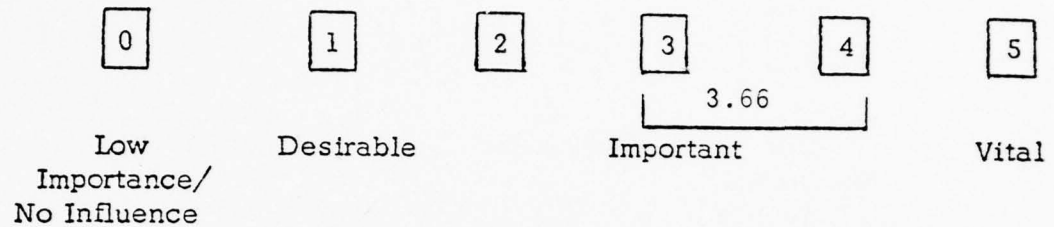


COMMENTS:

"One must be deliberate to sort out material and significant issues: not drag on, be picky, or lose time on the small stuff."

"While deliberateness may have its place, in many (most) instances in government procurement, the negotiator is not afforded the luxury of time."

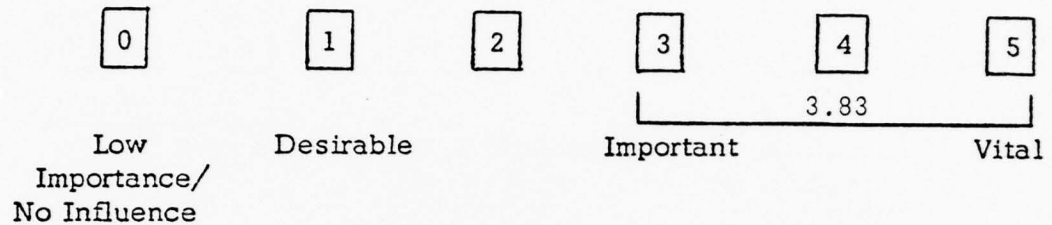
10. PERSUASIVE--The ability of the negotiator to cause or convince his opponent to believe something.



COMMENTS:

"This is the 'sell.' However, if sufficient homework is done, and the facts presented are logical, the need to be persuasive diminishes."

11. PLANNING ABILITY--The degree to which the negotiator carefully preplans his course of action before the actual negotiation.



COMMENTS:

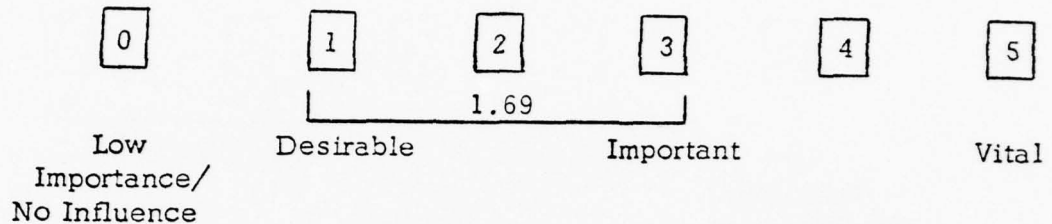
"Preplanning is great; however, a tremendous message may come from the contractor on his first offer which could influence/change the negotiator's planned course of action."

"A negotiator must do his homework and understand the contractor's proposal as well as the contractor does. Planning sets up the issues for negotiation."

"It is vital the negotiator knows what he plans to do. He must, however, be flexible enough to handle the unexpected."

"Negotiation is a form of battle. No battle or war was ever won without a good plan."

12. EDUCATION--The degree to which college education (i.e., Baccalaureate degree, Master's degree, etc.) enables the negotiator to more successfully negotiate a contract.



COMMENTS:

"As of late, government procurement is getting more and more complex and cumbersome. This is basically due to layering and over-layering of new laws, statutes, and newer interpretations of existing statutes. In the future, if the trend were to be maintained, only CPAs and JDs will be qualified as government negotiators."

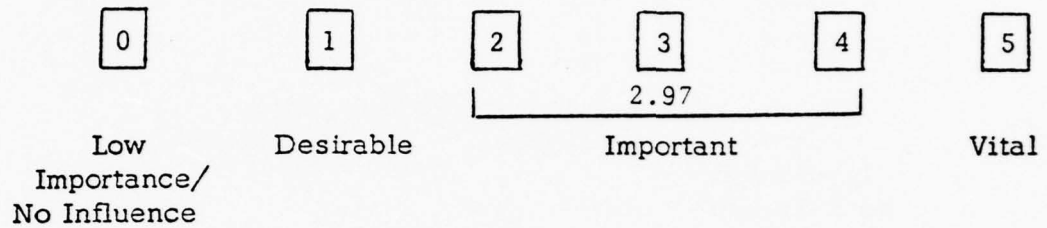
"The knowledge gained in college may have little, if any, impact on negotiations. The status implications, however, might affect a negotiator's self-confidence."

"Contractors' negotiators will be top level competitors with a high degree of experience and education. A government negotiator must be likewise to be effective."

"The general background of a college education is desirable, though not important. The fact that one has a degree is of no influence."

"A well-educated person does not necessarily make a successful negotiator. But a successful negotiator can be even more successful with a good, broad education."

13. EXPERTISE--How well the negotiator knows the product or service that he is negotiating to purchase.



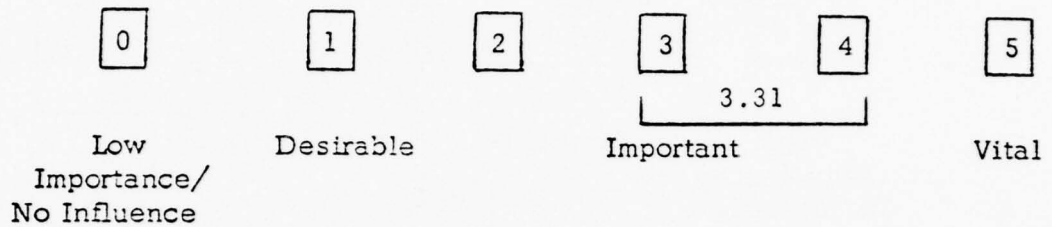
COMMENTS:

"Negotiations in central procurement are usually conducted utilizing a team concept. Technical expertise should be available to support the negotiator for critical technical aspects related to the procurement."

"Usually a negotiator obtains a counterpart engineer to know the product or service. Expertise in contractor's proposal methods and costing is more vital."

"Very basically, a man must know what he is talking about."

14. AUTHORITY--The degree to which the negotiator can on his own change or make decisions that pertain to the contract.

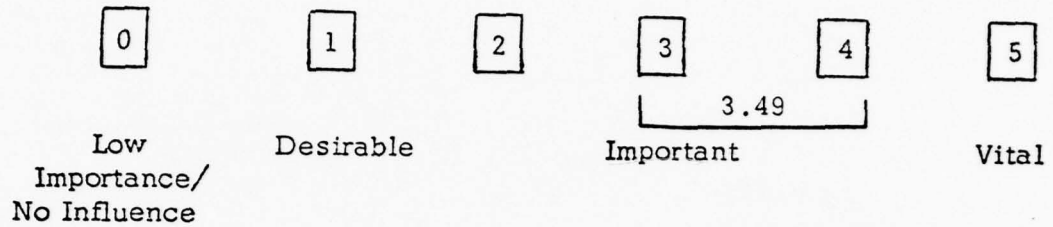


COMMENTS:

"This is a matter of credibility for the opponent."

"A negotiator must have authority and must be recognized as having authority; otherwise, negotiations of issues will never be resolved."

15. HIGH EXPECTATIONS--The degree to which the negotiator is confident that he can achieve his present negotiation goals.



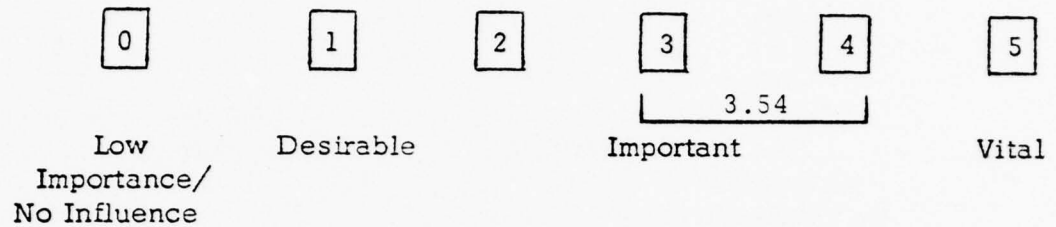
COMMENTS:

"While always probing for the most advantageous position, the negotiator must retain a realistic view of the situation."

"As long as the negotiator does not overestimate his ability."

"High expectations generally result in high achievement."

16. SKEPTICISM--The ability of the negotiator to question information presented to him to insure that he is getting the truth.

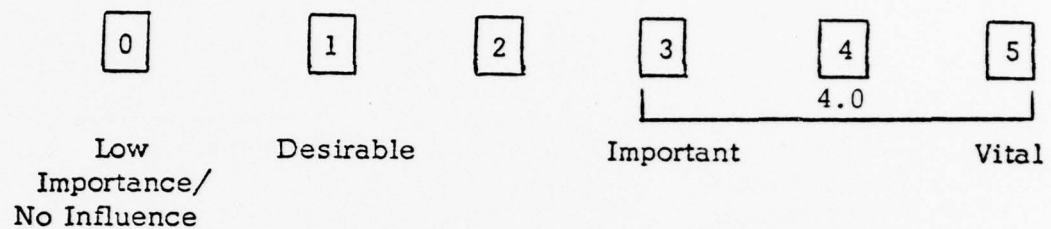


COMMENTS:

"I never believe the opponent 100%, no more than I would believe every word of a car salesman."

"The negotiator should recognize weaknesses in team support if their evaluations/positions are unsupportable."

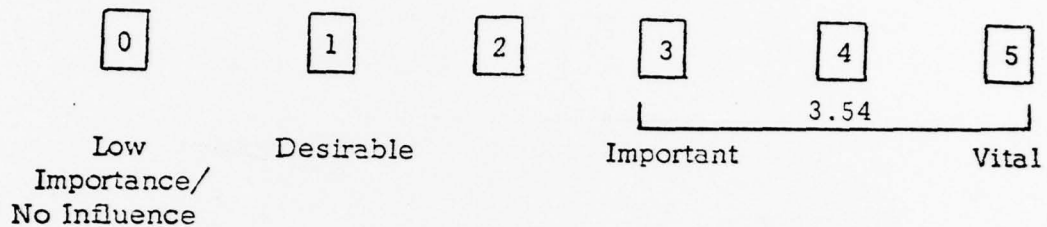
17. REALISTIC--The ability of the negotiator to face facts and to use these facts to reach an agreement on a position.



COMMENTS:

"It takes a considerable amount of time to eat an elephant!"

18. SELF-ESTEEM--The degree to which a negotiator respects himself to be equal or better than his opponent.

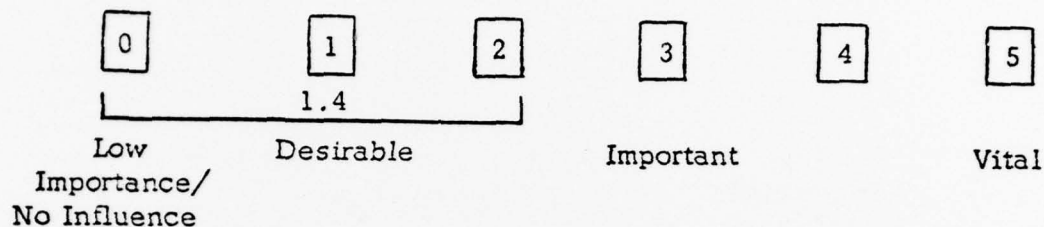


COMMENTS:

"Can be overdone; arrogance is undesirable."

"We are here to do a job, not to admire our personal achievements."

19. STATUS--The ability of the negotiator to influence the negotiation process by virtue of his rank or hierarchial position in the organization.



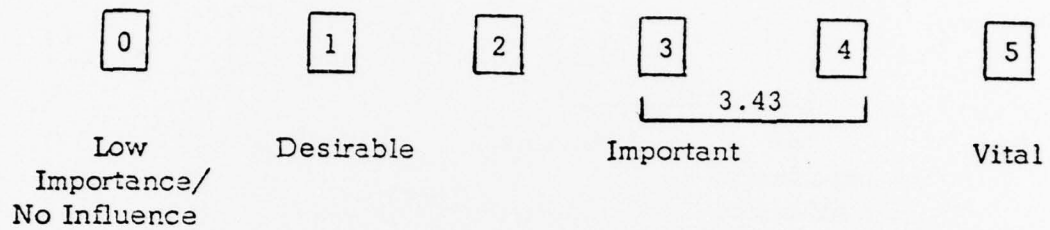
COMMENTS:

"Can be confusing and disruptive."

"I have been in negotiations where the contractor completely ignored my position as a negotiator and addressed himself entirely to one of his own stature, i.e., VP to PM (full colonel). In cases like this, it would be helpful to be of higher position."

"A person with self-confidence and authority to negotiate should recognize status as artificial at the table."

20. SENSE OF TIMING--The ability to know when to invoke certain strategies to gain advantage of his opponent.

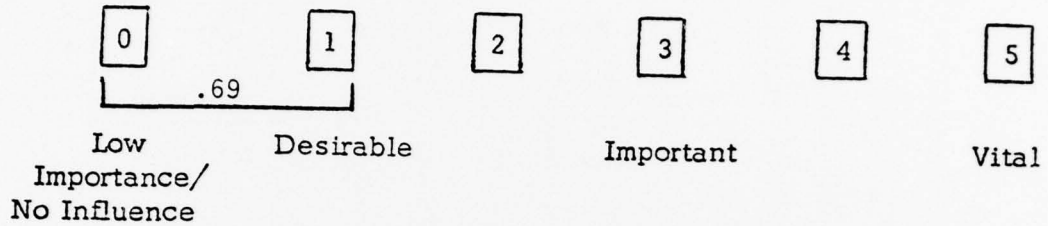


COMMENTS:

"While sense of timing is important, because most AFSC procurements are multi-faceted, there really is very few times in which the 'coup de grace' can be administered in the dramatic sense."

"The art of negotiation."

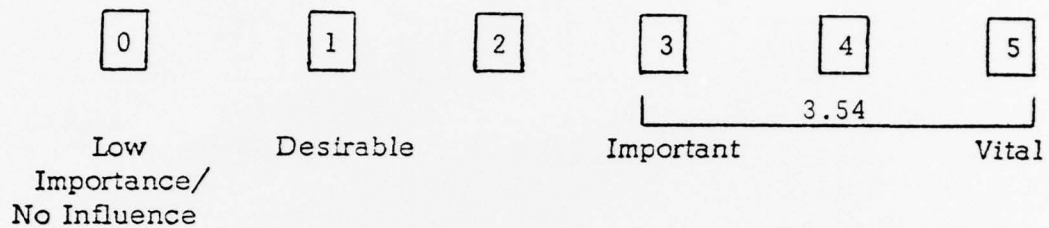
21. BELIEFS--The experiences of a person's past (i.e., religious convictions, marital status, etc.) that might influence a negotiator's performance.



COMMENTS:

"But can't be prejudice."

22. TACTFULNESS--The ability of the negotiator to say something to his opponent or his coworkers without offending them.

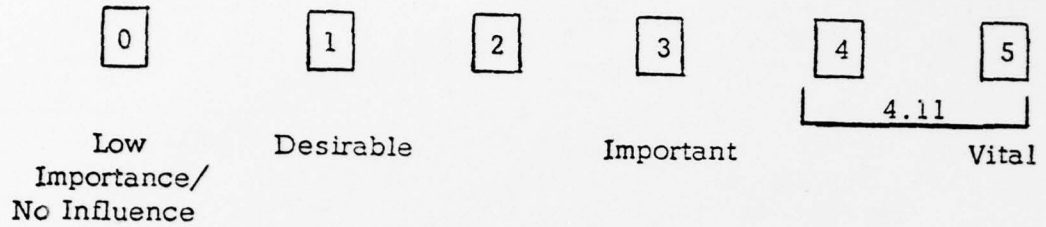


COMMENTS:

"Tactfulness certainly must be one of the most desirable traits in a successful negotiator. After all, the negotiator is the front window, the 'image' to the outside world."

"You can't please all! However, constructive use of tact and diplomacy is important to achieve your goals."

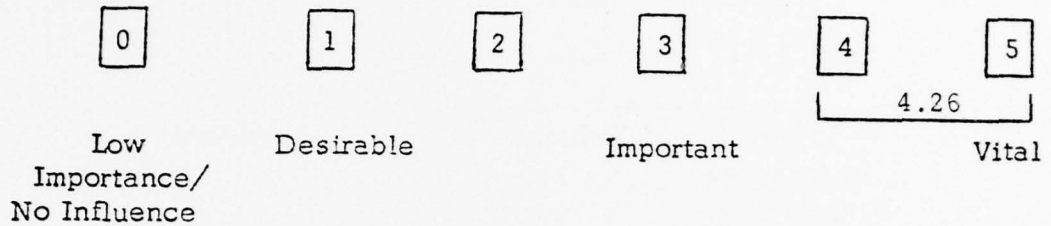
23. EXPERIENCE--The amount of practical knowledge gained through personal participation in actual negotiations.



COMMENTS:

"Experience is that ingredient that matures a negotiator."

24. ADAPTABILITY--The ability of the negotiator to react (i.e., to think on his feet) to the changing circumstances of the on-going negotiation process.

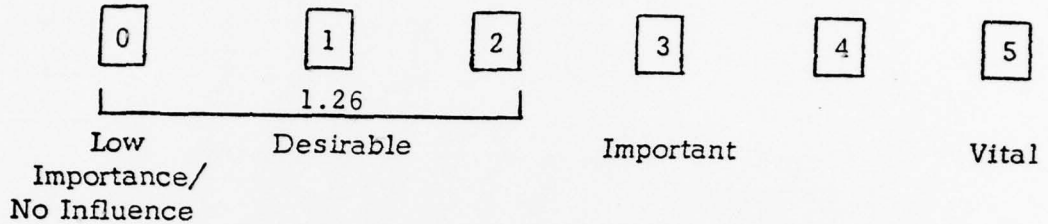


COMMENTS:

"Negotiators are forever advised on how the battle should be fought. We all know how great we are shadow-boxing or dancing alone. It is the ability to change, veer, adapt to 'acts not in the script' that can make or break a negotiator."

"This business requires extreme adaptability, not always in actual negotiations--usually in changing requirements."

25. ACADEMIC DISCIPLINE--The extent to which the type of college education (i.e., Business Administration, History, Philosophy, Engineering, etc.) enables the negotiator to more successfully negotiate a contract.



COMMENTS:

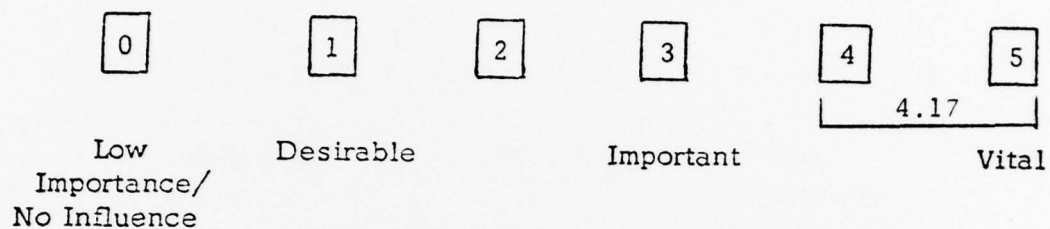
"Academic discipline may be helpful; however, successful negotiations result from real experience in the 'battlefield.' "

"Little or no correlation, but the negotiator must have pricing background."

"A degree in business or courses in business would be beneficial."

"Exposures to academic disciplines in business administration and law are quite important for most of government procurements. However, in space age procurements (R & D, computers, softwares, etc.) a basic knowledge in the engineering discipline (math/science) will certainly enhance the negotiator's capabilities."

26. TASK ORIENTATION--The degree to which the negotiator understands and is dedicated toward achieving procurement objectives; i.e., a fair and reasonable price for the USAF.

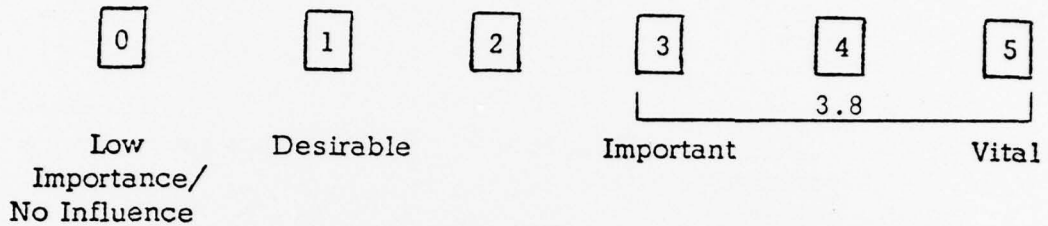


COMMENTS:

"This is the sole purpose of a government negotiator. To get from here to there, at a fair and reasonable price."

"The goal is to achieve procurement objectives at a fair and reasonable price for both parties."

27. REPUTATION--The degree to which the reputation of the negotiator for his fairness and strength in negotiating extends toward influencing the final outcomes of the negotiation.



COMMENTS:

"A good reputation (fair/reasonable) will certainly facilitate negotiations. Most contractors do have 'profiles' on government negotiators."

BIBLIOGRAPHY

SELECTED BIBLIOGRAPHY

A. REFERENCES CITED

1. Coffin, Royce A. The Negotiator; A Manual for Winners. New York: Amacom, 1973.
2. Dalkey, Norman C. Delphi. Memorandum P-3704. Santa Monica, California: RAND Corporation, March, 1968.
3. Dalkey, Norman C. Experiments in Group Prediction. Memorandum P-3820. Santa Monica, California: RAND Corporation, March, 1968.
4. Emory, C. William. Business Research Methods. Homewood, Illinois: Richard D. Irwin, Inc., 1976.
5. Fox, Ronald J. Arming America. Cambridge: Harvard University Press, 1974.
6. Guralnik, David B., ed. Webster's New World Dictionary. New York: Popular Library, 1973.
7. Helmer, Olaf. Systematic Use of Expert Opinions. Memorandum P-3721. Santa Monica, California: RAND Corporation, March, 1968.
8. Hermone, Ronald H. "How to Negotiate...and Come Out the Winner," Management Review. Vol. 63, No. 11. November, 1974, pp. 19-25.
9. Hovland, Carl I., and Irving L. Janis. Personality and Persuasibility. New Haven: Yale University Press, 1962.
10. Karrass, Chester L. The Negotiating Game. New York: The World Publishing Company, 1970.
11. Kolbe, Robert A. "Wanted: top negotiators; only skeptics need apply," Purchasing. Vol. 79, No. 10. September, 1975, pp. 45-46.
12. McDonald, Paul R. Government Prime Contracts and Subcontracts Service. Covina, California: Procurement Associates, 1969.

13. Muehleisen, Major James E., USAF. Chief Plans and Operations, Deputate for Procurement and Manufacturing. Electronics Systems Division, Hanscom AFB, Mass.: November 15, 1976. Telephone conversation.
14. Neaton, Lieutenant Colonel John F., USAF. Procurement Staff Officer. Deputate for Procurement and Manufacturing, Space and Missile Systems Organization, Los Angeles AFS, California: November 17, 1976. Telephone conversation.
15. Nierenberg, Gerald I. The Art of Negotiating. New York: Hawthorne Books, Inc., 1969.
16. Novak, Captain Theodore J., USAF, and Captain Russell V. Whitley, USAF. "Identification of Personal Characteristics of Air Force contract Negotiators." Unpublished Master's Thesis. SLSR 32-76B, AFIT/SL, Wright-Patterson AFB, Ohio, 1976.
17. Seigel, Sidney. Nonparametric Statistics for the Behavioral Sciences. New York: McGraw-Hill Book Co. Inc., 1956.
18. Selby, Samuel M. Standard Mathematical Tables. 23rd ed. Cleveland: The Chemical Rubber Company Press, Inc., 1975.
19. U.S. Department of Defense. Military Prime Contract Awards. Washington: Government Printing Office, 1975.
20. U.S. Department of Defense. Armed Services Procurement Regulations. Washington: Government Printing Office, 1975.

B. RELATED SOURCES

- Baily, Peter J. Purchasing and Supply Management. 3rd ed. London: Chapman and Hall, 1973.
- Belden, David L., and Ernest G. Cammack. National Security Management: Procurement. Washington, D.C.: Industrial College of the Armed Forces, 1973.
- Brown, Bert R., and Jeffrey Z. Rubin. The Social Psychology of Bargaining and Negotiation. New York: Academic Press, 1975.

- Constantino, George E. Jr. "The Negotiator in Collective Bargaining." *Personnel Journal*. Vol. 54, No. 8. August, 1975, pp. 445-447.
- Contini, Bruno; David G. Hughes.; and Joseph B. Juhasz. "The Influence of Personality on the Bargaining Process." *The Journal of Business*. Vol. 46. 1973, pp. 593-604.
- Dobler, Donald W., and Lamar Lee, Jr. *Purchasing and Materials Management*. New York: McGraw-Hill Book Company, 1965.
- Karrass, Chester L. *Give and Take*. New York: Thomas Y. Crowell Company, 1974.
- Kerlinger, Fred N. *Foundations of Behavioral Research*. New York: Holt, Rinehart and Winston, Inc., 1973.
- Lee, Lamar, Jr., and Donald W. Dobler. *Purchasing and Materials Management*. New York: McGraw-Hill Book Company, 1965.
- Mahan, Major Allen V., USAF. Chief, Quantitative Aids Division of the Professional Military Comptrollers Course, Maxwell AFB, Alabama: An Address ("The Delphi-Bridging the Gap"), Prepared April, 1974.
- McKersie, Robert B., and Richard E. Walton. *A Behavioral Theory of Labor Negotiations*. New York: McGraw-Hill, Inc., 1965.
- Schelling, Thomas C. *The Strategy of Conflict*. Cambridge: Harvard University Press, 1960.
- Selekman, Benjamin M. "Varieties of Labor Relations." Vol. 27, *Harvard Business Review*. March, 1949, pp. 177-185.
- Swingle, Paul G. *The Structure of Conflict*. New York: Academic Press, 1970.
- U.S. Department of the Air Force. *Armed Services Procurement Regulation Supplement - 1974 Edition*. Washington: Government Printing Office, 1974.
- U.S. Department of the Air Force. *Air Force Logistics Command Armed Services Procurement Regulation Supplement, 1975 Edition*. Washington: Government Printing Office, 1975.