

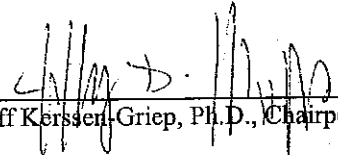
Superior-Subordinate Communication Through the Bi-focal Lens
Of Leader-Member Exchange and Facework

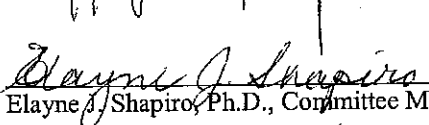
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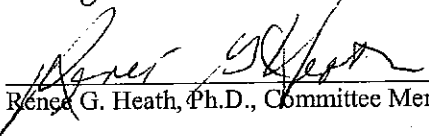
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This thesis is completed as a partial requirement for the degree Master's of Science in Organizational Communication at the University of Portland in Portland Oregon.

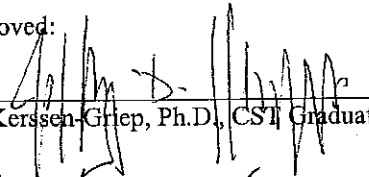
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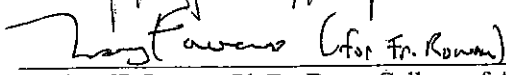

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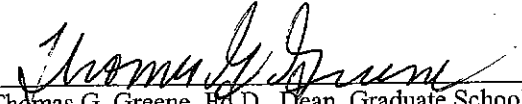

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Running Head: SUPERIOR-SUBORDINATE COMMUNICATION, LMX AND
FACEWORK

Superior-Subordinate Communication Through the Bi-focal Lens
of Leader-Member Exchange and Facework

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Abstract

This research looks at superior-subordinate communication through the shared lenses of leader-member exchange (LMX) theory and facework. A review of the literature shows supported links between LMX predictions and superior-subordinate communication. However, the participants' use of facework is conspicuously absent from these discussions. This research will investigate how theories of facework might fill particular gaps in LMX theory's explanations of superior-subordinate communication. Findings hopefully will lead to advice about employing facework in the superior-subordinate dyad in order to foster feelings of fairness and an "in-group" mentality across the team.

Superior-Subordinate Communication Through the Bi-focal Lens of Leader-Member Exchange and Facework

Although the theory of facework is anchored in the field of communication, it maintains roots across several areas and is represented in various forms across multiple disciplines. Goldsmith (1994) found that “Researchers in micro sociology, pragmatic linguistics, and speech communication have theorized that concerns for acceptance, autonomy, and self-presentation are intrinsic to all social interactions” (p. 30). Face can be defined as the “...social image one has of him/herself based on other’s approval (Carson & Cupach, 2000, p. 216), while facework can be defined as the tactics one uses to maintain consistency with his/her face (Wilson, 1992, p. 178). Facework is an example of a communication theory that has relevance across a range of disciplines and applications in a range of situations.

Reviewing the research about superior-subordinate communication reveals a prominent focus on phenomena explained by Leader-Member Exchange (LMX) theory. Superior-subordinate research tends to focus on the quality of the relationship (high or low). Similarly, LMX research focuses on the quality of the superior-subordinate relationship, but uses the labels of “in-group” and “out-group” and the qualities associated with each. But how does facework play into these concepts? Can a superior-subordinate relationship be predicted as being a certain quality, or a subordinate identified as in-group versus out-group, without considering how participants’ facework plays into those dynamics? Morand’s (2000) study of linguistics in the superior-subordinate relationship purposely made the link to facework and asked why organizational studies have neglected streams of work in the tradition of Bales and Goffman. The present study will explore strengths and shortcomings in what Leader-Member Exchange theory explains about superior-subordinate communication in the workplace, then

will argue and test whether accounting for facework adds power to LMX explanations of superior-subordinate workplace relationship dynamics.

Literature Review

Superior-Subordinate Studies

The realm of superior-subordinate research covers a large array of topics, including superior-subordinate communication, quality of the relationship, perceptions of fairness, and the impacts of gender. Superior-subordinate studies also cross many different theories, including facework and leader-member exchange. The superior-subordinate relationship provides a unique opportunity to integrate the theories of both facework and LMX in order to frame how they may work in concert in order to more fully explain that relationship's dynamics.

One of the foundations of superior-subordinate research is communication. Level and Johnson (1978) state, "...the principal activity of organization is communication" (p. 13). Many researchers have taken the argument a step further, identifying superior-subordinate communication as one of the most important communication relationships in organizations (Lamude, Daniels, & White, 1987; Lee, 1998; Level, Jr., & Johnson, 1978). Superior-subordinate communication is crucial to the organization because it is how organizational tasks are accomplished, via rationales, goals, instructions, and feedback (Lee, 1998; Tjosvold, 1985). Although the importance of superior-subordinate communication appears obvious, "...this interaction often does not match the ideal" (Tjosvold, 1985, p. 281).

To better understand how researchers conduct studies of superior-subordinate communication, it is necessary to understand how they define this type of communication. For his research, Jablin (1979) defined superior-subordinate communication as "...limited to those exchanges of information and influence between organizational members, at least one of

whom has formal (as defined by official organizational sources) authority to direct and evaluate the activities of other organizational members” (p. 1202). In his research, Jablin (1979) also relied on pre-identified basic communication types:

...Downward communications from supervisor to subordinate are of five basic types: (a) job instructions, (b) job rationale, (c) organizational procedures and practices, (d) feedback about subordinate performance, and (e) indoctrination of goals.... On the other hand, communication upward from subordinate to superior is reported to take four primary forms: (a) information about subordinate himself/herself, (b) information about co-workers and their problems, (c) information about organizational practices and policies, and (d) information about what needs to be done and how can be done. (p. 1202)

Given the importance of superior-subordinate communication, it is pertinent to understand what researchers have found thus far, as this creates a foundation for expanding the research into other areas of the superior-subordinate relationship.

Early research highlighted gender differences. Gender may affect superior-subordinate relationship quality, although conflicting research indicates that other, non-gender, similarities may be more important in determining the quality of the relationship. Much of the gender research occurred in the 1970s and 1980s, when women became more prevalent in the workforce and began moving into more supervisory and managerial types of positions. More recent studies indicate that original differences between men and women in supervisory positions no longer appear to be valid, yet there still are many gaps that need to be addressed.

Much of the early gender research into superior-subordinate relationships assumed that female superiors would encounter significant issues in dealing with subordinates of the

opposite sex. According to Scott (1983), it was expected that subordinates would respond better to superiors of the opposite sex due to issues around trust (p. 334). Much of this had to do with the fact that "...men were thought to have better leadership and decision-making skills, to be more dependable and reliable, and to have skills and experiences that make them more employable and promotable than women" (Scott, 1983, p. 322). In addition to preconceived notions about the superiority of male managers, women also had to deal with assumptions about their sensitivity, reluctance to take risks, and less aggressive communication styles (Lee, 1998).

Research findings, however, flew in the face of many of these preconceived notions about the effectiveness of women in comparison to men in supervisory and managerial roles. Among these were the findings that "...females are oriented toward fairness and cooperation while males are concerned with maximizing self-interest" (Renwick, 1977, p. 404). Similarly, Lee (1998) found that "males were more likely than females to use deception/distortion when they perceive themselves to be least effective" (p. 202). And finally, Renwick's (1977) findings "...provide no support for the popular belief that women will be less assertive than men in dealing with differences and disagreements that occur on the job" (p. 412).

Researchers have been able to draw several additional conclusions regarding superior-subordinate communication. Several of these findings overlap other areas (e.g., quality, relationships, and fairness), but there also have been some conclusions specific to the communication patterns between superiors and their subordinates.

First, Jablin (1979) found that "the better supervisors tend to be more 'communication minded'" (p. 1209). Webber (1970) found "verbal interaction between individuals and within small groups predominant" (p. 235). He also found that perceptions of the frequency of communication depend on who initiates it. Weber (1970) argues that "initiators perceive

more verbal interaction than receivers.... Because of the initiator's involvement, he tends to remember more or exaggerate what he has done" (p. 237-238). Another key finding has to do with dissatisfaction of superior-subordinate communication. As Jablin (1979) states, "Probably one of the most common complaints aired by supervisors and subordinates about their communication relationship is that one of the interactants does not provide the other with sufficient and relative feedback" (p. 1212).

Any such complaints that exist typically will last for the duration of the relationship. Waldron and Hunt (1992) suggest that "early judgments about relationship quality" drive the subordinate into certain response patterns, which solidify over time (p. 87). This means that if a subordinate judges the relationship to be of low quality and develops a response pattern of little or low communication with the supervisor, that pattern will continue rather than improving. Additionally, a supervisor's hierarchical level within the organization also impacts the quality of superior-subordinate relationships. Tjosvold (1985) found that "managers who are powerful feel more secure and willing to aid subordinates. It is powerless managers who feel threatened and interfere with subordinates" (p. 283). These findings about superior-subordinate communication lend insight into the quality of these relationships.

Interestingly enough, researchers have found it difficult in some instances to obtain accurate information from supervisors regarding their relationships with subordinates. Superiors report that they treat subordinates consistently and fairly, which tends to be inconsistent with how subordinates perceive and report on their treatment (Lee & Jablin, 1995). Despite this, it is the superior who holds the key to defining the quality of the superior-subordinate relationship. Due to the nature of the organizational hierarchy, the superior tends to exercise more control in the relationship. As a result, "...the superior's behaviors have primacy in defining the quality and outcome of the superior-subordinate

relationship” (Lamude, Daniels, & White, 1987, p. 234). Once the quality of a relationship has been established, it can have many effects.

Superior-subordinate relationship quality can result in various impacts throughout the organization. According to Lee and Jablin (1995), “the quality of relationship exchange between superiors and subordinates has been found to affect turnover, productivity, satisfaction, leader support, attention and sensitivity, agreement over severity of job problems, and related variables” (p. 224). In previous work, Jablin (1979) also found that “...superiors are less positive toward and less satisfied with interactions with their subordinates than they are with contacts with their bosses” (p. 1203). Despite their own possible lack of satisfaction, supervisors who tend to employ good communication techniques tend to be part of high-quality superior-subordinate relationships. According to Jablin (1979), these techniques include being willing, empathic, responsive, approachable, and fair, and these “...better supervisors tend...to ‘ask’ or ‘persuade,’ in preference to ‘telling’ or ‘demanding’” (p. 1209). These distinctions are important to the perceptions that the subordinate develops and present a foothold for facework in the dynamic. Regardless of the quality of the relationship, once it is established, both parties tend to maintain the status quo.

Both superiors and subordinates employ maintenance techniques throughout the duration of the relationship. McCroskey and Richmond (2000), citing speech accommodation theory, discuss how “...people adapt their communication style in order to gain approval from their partner or maintain a certain social position” (p. 279). This concept can be applied in superior-subordinate relationships as well. Rather than working to improve or change the superior-subordinate relationship, most people focus on maintaining the quality of the existing relationship (Lee, 1998; Lee & Jablin, 1995). Earlier studies also found that the subordinates in high-quality relationships were more likely to use informal and personal contacts to

maintain and solidify the relationship (Waldron, 1991; Waldron & Hunt, 1992). In contrast, Lee and Jablin (1995) found that "...supervisors' perceptions of relationship exchange quality had no effect on their use of maintenance communication strategies in any of the strategic situations" (p. 248). This is pertinent because supervisors were found to employ the same types of strategies, which differed significantly from the strategies that subordinates employ. Lee and Jablin (1995) found that "...supervisors were more likely than their subordinates to employ the direct/open approach and the strategy of creating closeness, whereas subordinates were more likely than their supervisors to use self-promotion as a maintenance strategy" (p. 250). Another interesting finding in regards to maintenance of the superior-subordinate relationship is that the length of the relationship had no effect on the tactics employed (Lee, 1998). Although maintenance is the typical goal in superior-subordinate relationships, there are times when other techniques must be utilized.

The techniques and tactics that subordinates use in communicating with superiors depend upon whether they are working to maintain the relationship or if they are dealing with some kind of escalation or deterioration of the relationship. Generally, researchers have identified four tactics that subordinates use to influence the state of the relationship. Lee (1998) identifies these four tactics as:

- (a) personal (i.e., informal, personal conversations in which they joke, talk about their personal life and shared experiences);
 - (b) contractual (i.e., conformity to formal role requirements, supervisory expectations, and general communication conventions such as politeness);
 - (c) regulative (i.e., avoidant and manipulative communication behaviors such as controlling messages, impressions, emotions, and contacts with the supervisor); and
 - (d) direct (i.e., explicit and direct negotiations and open discussions).
- (p. 183)

The decision to use one of these four tactics depends upon the current status of the relationship.

Researchers have found that subordinates may use personal tactics both to maintain and to improve the relationship when it may be deteriorating (Lee, 1998). If a relationship is escalating, the tactics that a subordinate employs will depend on whether the subordinate considers the quality of the relationship to be high or low. Subordinates in low quality relationships were more likely to use regulative tactics, such as avoidance and direct and indirect conversational refocus (Lee & Jablin, 1995). According to Waldron (1991), this is because “Regulative tactics appear to protect self while maintaining a minimally acceptable relationship with the supervisor” (p. 301).

In higher quality relationships, subordinates are more likely to be open about any problems. Due to the generally positive quality of the overall relationship, “...there is likely to be less risk involved in expressing feelings, stating positions, or discussing sensitive matters...” (Lee, 1998, p. 197). So in contrast to subordinates in low-quality relationships, subordinates in high-quality relationships generally are far less likely to employ regulative tactics. In a relationship that is perceived to be deteriorating, several tactics may be used. These include regulative, personal, and direct, with the subordinate specifically using “...circumspectness...followed by creating closeness, direct/open, self-promotion, and deception/distortion” (Lee, 1998, p. 193). Although either the superior or the subordinate may use any of these tactics, most research focuses on the tactics that subordinates employ. These tactics typically depend on whether the subordinate perceives the relationship to be one of high quality or of low quality.

Leader-Member Exchange Theory

The leader-member exchange theory attempts to explain the various relationships between superiors and subordinates, contemplating such dynamics as communication, similarity, the definition of roles, distance (both physical and social), and in-groups and out-groups. Since LMX research covers a broad array of topics, it can be difficult to find a standardized definition of the theory. Overall, "...this model describes the processes by which a leader and a member develop various behavioral interdependencies between their respective roles" (Graen & Schiemann, 1978, p. 206). LMX also has been conceptualized broadly as being "comprised of the amount of interpersonal attraction...and the degree of loyalty that existed between a leader and a member...as well as attention, support, and sensitivity" (Schriesheim, Castro, & Cogliser, 1999, p. 79).

Regardless of how various researchers have conceptualized LMX theory and on which areas they have focused, all appear to agree that it is the development of the relationship between leader and member that drives the theory. It is how the relationship between the superior and subordinate is developed and maintained that determines the level and kinds of exchanges that the leader and member share. Dienesch and Liden (1986) claim that "...role-development will inherently result in differentiated role definitions and, therefore, in varied leader-member exchanges" (p. 621). They further suggest that the leader develops close relationships with a select few and relies on "...formal authority, rules, and policies to ensure adequate performances" of the others (Dienesch & Liden, 1986, p. 621). Several researchers discuss how the theory is based on the roles that the leader and member negotiate (Fairhurst & Chandler, 1989; Murphy & Ensher, 1999). For example, Fairhurst and Chandler (1989), relate how "...role definitions emerge from a process of negotiation in which both the personal and positional resources of the manager are exchanged for the organizationally valued contributions of the members" (p. 215). Building upon the negotiation of roles, many

researchers have distinguished between in-group and out-group relationships and explored differences in how leaders relate to each (Allinson, Armstrong, & Hayes, 2001; Basu & Green, 1995; Dienesch & Liden, 1986; Engle & Lord, 1997; Fairhurst & Chandler; Gomez & Rosen, 2001; Graen & Schiemann, 1978; Krone, 1991; Murphy & Ensher, 1999). Before exploring in-groups and out-groups, it is important to understand how LMX proposes that the roles between supervisors and subordinates are initially negotiated using: a) similarity, b) distance, and c) interpersonal communication.

LMX and similarity

Areas of similarity that are key to the negotiation of roles include attitudes, values, demographics, social status, and gender (Basu & Green, 1995, pp. 80-82). These similar characteristics affect the roles of both the leader and the member. Basu and Green (1995) found that “the realization that subordinates have attitudes similar to their own may prompt leaders to establish higher quality exchanges with the subordinate because such similarity may be a source of support for the leader’s notion of validity of his/her own attitude” (p. 88). Similarly, Allinson et al. (2002) indicate that “...subordinates who regard themselves as being similar to their supervisors communicate more with them, and are consequently rated as higher performers than those who do not” (p. 203).

Given that similarity often leads to attraction and liking in a relationship, its function in defining leader-member roles becomes even more important. As Engle and Lord (1997) argue, “...early liking was even more influential than perceptions of performance in determining the leader’s view of an LMX relationship” (p. 989). In addition to defining roles, cognitive similarity also has been found to impact the effectiveness of leader-member exchanges. Allison et al. (2002) suggested that “subordinates in effective leader-member exchanges tend to have a cognitive decision-making style compatible with that of the leader”

(p. 203). In addition to the various areas of similarity, a multitude of other factors have been identified as impacting the negotiation of roles in leader-member relationships.

LMX and distance

Physical distance (working in different geographic locations vs. the same office) also has been found to play a key role in the negotiation of roles. Contrary to expectations, however, physical distance was found to have the potential to improve the leader-member relationship. As companies grow, departments that span multiple geographic locations and even telecommuting employees become more common. As a result, managers must find effective ways of communicating and developing relationships with their employees.

Despite this growing trend, research into the impacts of distance on LMX is limited. Howell and Hall-Merenda (1999), despite earlier research to the contrary, found that distance does not negatively affect LMX. These authors found that “LMX positively affected follower performance, irrespective of physical distance, implying that a positive leader-follower relationship will make leading from a distance both possible and effective” (Howell & Merenda, 1999, p. 690). In some instances, distance actually may result in better job performance. Based on their findings, Howell and Hall-Merenda (1999) suggest that “...distant followers may perceive less arbitrary punishment and at least partially avoid the negative impact that perceived arbitrary punishment has on performance” (p. 690). More research is required in this area to investigate the influence of distance on leader-member relationships, but the research of Howell and Hall-Merenda provides a promising foundation in this area.

LMX and interpersonal communication

As one of the keys to negotiating roles early in the leader-member relationship, interpersonal communication also opens the door to exploring the role of facework in LMX.

Henderson (1987) maintains that “...Interpersonal communication requires adapting to another person in terms of the rules of that particular relational interaction, not the rules that are overdetermined by the larger organizational context” (p. 15). In addition to the role of interpersonal communication, when the member is new to the organization, s/he must cope with socialization into the organization and its culture as well as developing a new leader-member dyad (Dienesch & Liden, 1986, p. 628).

The leader’s relationship to his/her superiors also impacts how they communicate with their subordinates. Dienesch and Liden (1986) also show that “...leaders who do not have a good relationship with their immediate superior tend to have less to offer subordinates than leaders who have cultivated good relationships with their immediate supervisors” (p. 630). All of these factors impact the development and quality of leader-member exchange.

In order to study and assess the quality of the leader-member exchange, researchers have identified four different dimensions of the relationship that seem to be the key drivers, including these research areas: 1) perceived contribution, 2) loyalty, 3) affect (interpersonal attraction), and 4) professional respect. Dienesch and Liden (1986) conducted a review of much of the LMX research and found that there were too many proposed characteristics of LMX, which resulted in a lack of focus. Given this, they proposed a condensed view focusing on perceived contribution, loyalty, and affect. With this narrower focus, Dienesch and Liden (1986) defined perceived contribution as “...perception of the amount, direction, and quality of work-oriented activity each member puts forth toward mutual goals (explicit or implicit) of the dyad” (p. 624). They continued to define loyalty as “...the expression of public support for the goals and personal character of the other member of the LMX dyad,” and affect as the “...the mutual affection members of the dyad have for each other based primarily on interpersonal attraction rather than work or professional values” (Dienesch & Liden, 1986, p.

625). The fourth dimension, professional respect, was added by Liden and Maslyn (1998) in later research and was defined as "...the perception of the degree to which each member of the dyad had built a reputation, within and/or outside the organization, of excelling at his or her line of work" (p. 50). Liden and Maslyn's research confirmed through empirical results the validity of using a multidimensional approach to studying LMX. These results supported the original three dimensions of affect, loyalty, and contribution, while also finding support for the addition of the fourth dimension of professional respect. These dimensions, in turn, may be used to determine whether a subordinate is part of the superior's in-group or out-group.

In-Group and Out-Group Distinctions

As Dienesch and Liden (1986) argue, "Contextual factors relevant to LMX development include work group (unit) composition, a leader's power and organizational policies and culture" (p. 630). Given some of these factors, many researchers have quantified what they deem makes up low and high quality LMX relationships. According to Howell and Hall-Merenda (1999), "low quality LMX relationships are characterized by unidirectional downward influence, economic exchange behaviors, formal role-defined relations, and loosely coupled goals," while "high quality LMX relationships are characterized by mutual trust, respect, influence, and obligation" (p. 682). A high quality relationship has been found to have a positive impact on the member's performance. Settoon, Bennett, and Linden's (1996) findings "suggest that desired work behaviors, both those that conform with and those that extend beyond what is specified in the employment contract, are associated with the nature of the relationship with the supervisor" (p. 224). The perceived quality of the LMX relationship often depends on whether the member is part of the leader's in-group or out-group.

The in-group/out-group distinction has become a key component of LMX theory. As Engle and Lord (1997) claim, LMX theory “emphasizes the differing relationships that supervisors develop with subordinates within a work unit” (Engle & Lord, 1997, p. 988). The in-group/out-group status often is established very quickly (based on similarities, liking, etc.) and typically remains stable throughout the relationship (Allinson et al., 2001, p. 202). According to Allinson et al., (2001), the in-group/out-group designation occurs because “... a leader will develop close associations with a few subordinates and more distant relationships with the rest” as a result of member differences and time and energy constraints (202). In contrast, Gomez and Rosen (2001) suggest that leaders choose their in-group “...based on their assessments of (a) employees’ skills, (b) motivation to assume greater responsibility, and (c) the extent to which they think the employee can be trusted” (p. 57). Once the leader has identified (subconsciously) his/her in-group and out-group, certain characteristics and patterns become apparent for each group.

Whether a subordinate becomes part of the superior’s in-group or out-group is decided very early in the relationship and typically affects many, if not all, of the aspects of the relationship. In-group or out-group status drives the communication tactics that are employed and the quality of the relationship. In-groups are characterized “...by mutual support, informal, influence, trust, and greater input in decision-making” (Lee, 1998, p. 187). Researchers also have found that in-group members are likely to display positive attitudes, conform to work rules, and exceed expectations (Waldron, 1991). They tend to be treated differently by their superiors, as well. Superiors tend to provide in-group subordinates with more resources, such as “...inside information, personal support, and attention to professional development” (Tepper, 1995, p. 1192). As a result of the higher quality relationship between superiors and in-group subordinates, in-group members find themselves in a better position to

challenge supervisory control (Waldron, 1991). This position means that "...in-group members are more likely to openly argue for their ideas and are less likely to invoke political tactics..." (Tepper, 1995, p. 1193). In-group subordinates, whether factual or not, often are perceived as being treated preferentially by other members of the organization.

In contrast, out-group members find themselves in more formal communication patterns with their superiors. Waldron (1991) claims that "Supervisors in such exchanges exploit role-prescribed authority to gain subordinate (out-group members) compliance" (Waldron, 1991). This, in turn, impacts how the subordinate interacts with the superior. Due to low levels of trust, out-group members are more likely to employ avoidance behaviors and message distortion (Lee & Jablin, 1995, p. 249; Waldron, 1991, p. 302). Additionally, since most interaction with the superior is of a more formal nature, "...when they engage in conversations that deviate from expectations (e.g., topics or issues that are informal or personal in nature), they may feel uncomfortable or threatened and thus may attempt to refocus their conversations" (Lee & Jablin, 1995, p. 249). Subordinates' inclusion in either the in-group or the out-group typically affects the subordinates' perceptions of fairness within the department or organization.

The concept of fairness has been considered in several studies, but Sias and Jablin (1995) conducted an in-depth study to understand how in-group and out-group status affects perceptions of fairness in the workplace. The researchers found that in-group/out-group status does result in several specific perceptions about fairness. First and foremost, Sias and Jablin (1995) found that "...informants who perceived themselves as being in the supervisor's in-group perceived less inequity with respect to pay, work rules, and workspace than those subordinates who perceived themselves as being members of the supervisor's out-group" (p. 8). They also discuss the fact that the differential treatment that results from in-groups and

out-groups may lead to feelings of jealousy in out-group members (Sias & Jablin, 1995). These feelings of jealousy become pertinent as perceptions of fairness become solidified, as they may result in a breakdown of communication between co-workers. In-group members often consider their differential treatment to be fair and the result of hard work; whereas out-group members tend to believe that the differential treatment is unfair and "...caused by external factors such as luck or brownnosing" (Sias & Jablin, 1995, p. 33). In instances where out-group members felt that other subordinates received differential treatment, it tended to negatively impact the dynamics of the group as a whole. For example, "group members developed a distrust and dislike of the target, they decreased the frequency of their communication with the target, and became more cautious regarding what topics they would discuss with the target (e.g., greater editing of communication)" (Sias & Jablin, 1995, p. 23). So although in-groups and out-groups tend to develop naturally in organizations, superiors must take precautions to ensure that any differential treatment is perceived as "fair" to avoid negatively affecting the overall communication and effectiveness of the group.

There are many agreed upon characteristics of the in-group and out-group. Characteristics of the in-group include trust, interaction, influence, support, and rewards (Basu & Green, 1995; Dienesch & Liden, 1986; Fairhurst & Chandler, 1989; Krone, 1991). The out-group, by contrast, is characterized by low trust, low interaction, low support, and few rewards (Basu & Green, 1995; Dienesch & Liden, 1986; Fairhurst & Chandler, 1989). Due to their inherently more positive exchanges with the leader, in-group members experience a more positive work experience overall, "are more involved in communicating and administering activities, and seem to enjoy great work-related support and responsiveness from their supervisors" (Krone, 1991, p. 9). Additionally, due to the level of comfort they have with the leader, in-group members "...select open persuasion and strategic persuasion

more frequently than do out-group subordinates” (Krone, p. 15). In contrast, out-group members “...tend to develop more formal, restricted relationships with their supervisors” (Krone, 1991, p. 9). This is important, as out-group members have “...reported spending less time on decision-making and boundary-spanning activities, were less likely to volunteer for special assignments and for extra work, and were rated by superiors as being lower on overall performance than were in-group members” (Dienesch & Liden, 1986, p. 622). This distinction is important, as it affects the communication tactics that out-group members employ. Krone (1991) argues that “If out-group subordinates attempt upward influence, it might be through the use of less verbal, manipulative upward influence tactics, such as simply proceeding with one’s own plans rather than discussing them with a supervisor” (p. 13). Despite the voluminous research on LMX theory, most managers would disagree that they develop in-groups and out-groups, as most human resource departments would look negatively upon what could be construed as “favoritism.” Similarly, there are many researchers who are critical of the theory as well.

LMX Explanatory Shortcomings

Although there have been criticisms of LMX relative to theoretical, analytical, and methodological issues (Dienesch & Liden, 1986; Schriesheim et al, 1999), the prime criticism highlighted in the present study relates to assessment of interpersonal communication. Henderson (1987) criticizes the LMX research for its “...lack of attention to the underlying complexities of interpersonal interactions in lateral and upward communication” (p. 8). Similarly, Fairhurst and Chandler (1989) criticize the research for “tell(ing) us little about which conversational resources we should expect” (p. 217). Within LMX, interpersonal communication is sited as key to the negotiation of roles, the establishment of the relationship, and on-going maintenance tactics for both in-group and out-group dynamics yet facework

theories generally are not used within LMX research to explain or distinguish higher- from lower-quality relational communication.

Existing LMX-based research does not address facework by name, but reading that research in depth reveals obvious conceptual and practical roles for facework within LMX explanations of superior-subordinate interactions. The parallels that can be found tend to focus on facework employed by the subordinate. Krone (1991) unwittingly draws comparisons to facework by stating that "...subordinates may tend to pursue their desired outcomes in edited and self-protective ways" (p. 10) and that "managing one's self-presentation in an organization involves pointing out previous personal accomplishments to create and maintain the impression of competency and loyalty" (p. 12). These examples suggest subordinates employ protective facework in their communication with leaders. Fairhurst and Chandler (1989) also draw a comparison pointing out that "Power and social distance are two dimensions used to calibrate influence attempts, thus producing linguistic choices" (Fairhurst & Chandler, 1989, p. 216). Finally, Howell and Hall (1999) indicate that "this research implies that employees perceive a greater need to use upward influence tactics and engage in impression management..." (p. 684). By comparing some of these statements with various definitions of facework, it becomes obvious that facework is an integral part of the communication between leaders and members, influencing the practice and judgments of the quality of the leader-member exchange.

Face

"He was trying to save face." "She had egg on her face." Most people have a basic understanding of the concept of "face," but many do not realize that an entire communication theory has evolved over several decades to address face and facework. Although different

cultures have differing ways of addressing face and facework, the concept has a fairly long history.

In the area of communication studies, sociologist Erving Goffman typically is considered the “father” of face and facework. It is difficult to find any study on face or facework that doesn’t reference him in some form or another. In 1955, Goffman originally defined face “...as the positive social value a person effectively claims for himself [sic] by the line the others assume he has taken during a particular contact” (p. 213). Carson and Cupach (2000) made this definition a bit more accessible by stating that “...face is the social image one has of him/herself based on other’s approval” (p. 216). Various other researchers have continued to expand upon the definition of face and to develop some nearly parallel theories of their own. These expansions upon the definition include the concept that one’s face can be enhanced, maintained, or lost (Trees & Manusov, 1998, p. 565). There are also thoughts that it must be “constantly attended to in interaction,” although there are differing opinions about whether this occurs consciously or subconsciously (Brown & Levinson, 1987; Trees & Manusov, 1998).

Opinions about how this occurs depend upon how the researcher defines the level of communication. When Goffman (1955) first began writing about face and facework, he argued that “there is no occasion of talk so trivial as not to require each participant to show serious concern with the way in which he [sic] handles himself and the others present” (p. 226). This conceptualization suggests that face and facework are so inherent to communication that people often fail to consciously realize what they are doing. This does not mean, however, that it always occurs subconsciously. Depending upon the situation, people will specifically invoke different areas of facework to maintain, enhance, or protect face, either their own or someone else’s. This happens for multiple reasons, including

context, the participants involved, and the state of their relationship. Wilson (1992) argues that “First, face is a social commodity.... Second, face is situated, in the sense that different identities arise from the context” (p. 177). For instance, a teenager presents different faces to his/her parents, peers, and teachers. Face is negotiated during the communication, based on the way the communication occurs and how the participants interact with one another. The idea is that face “is different from such psychological concepts as self-esteem, self-concept, ego, and pride, which can be claimed without regard to the other’s perspective, and can be gained or lost in private as well as in public” (Lim, 1994, p. 210). Face is defined by the receiver’s perceptions, not the sender’s psyche.

Although the sender attempts to drive the receiver to certain, desired perceptions or conclusions about the sender, the final outcome always rests with the receiver. For this reason, face frequently becomes a juggling act. As the sender tries to relay certain meanings about himself/herself, he/she often simultaneously employs strategies to make the receiver feel certain ways about himself/herself, as well. Goffman (1955) suggests that during an encounter, “rules” relating to self-respect and considerateness cause people to communicate in a manner that maintains the face of all participants (both the self and the other). The goal of the sender determines which kinds of tactics may be used. Some researchers claim that face “is used to explain why people apologize when they make a request, why they notice people’s haircuts or acquisition of a new pair of glasses, why they threaten others and call them names, why they joke when they spill a glass of milk, and why they change topics of conversation” (Tracy, 1990, p. 209). These different tactics often fall under categories that have come to be known as positive and negative face.

Researchers Brown and Levinson (1987) defined positive face as the desire for acceptance by others of the self-image projected during an interaction and negative face as the

desire for freedom from imposition. The types of face also popularly are distinguished as the desire for acceptance and approval (positive face) and as the desire for autonomy (negative face) (Trees & Manusov, 1998; Wilson, 1992). Although the general premise remains the same across studies, different researchers have continued to enhance or distinguish between different types of face. For example, Trees and Manusov (1998) rely on a distinction originally made by Lim and Bowers in 1991 to separate positive face into two categories: “the desire to be included (fellowship face) and the desire to be respected (competence face)” (p. 566). Expanding upon this, Lim (1994) continues to enhance the different kinds of face and the types of facework that typically are used for each. He claims that “fellowship-face” deals with the social aspect of the individual; it is the need to be included and is often addressed through solidarity facework, “[c]ompetence-face is the image that one is a person of ability,” and is often accomplished by increased praise and decreased blame, and “autonomy-face” is the need not to be imposed upon and is addressed through tact (Lim, 1994, p. 211-212). In contrast, Carson and Cupach (2000) opted to simply expand upon the original definitions by stating that “positive face refers to one’s need to have items/beliefs that are important to him or her also be important or valued by others” (p. 216). Regardless of how one chooses to define positive face and negative face, there is an abundance of research about them.

Much research focuses on either supporting or threatening face. For example, Leichy and Applegate (1991) found that “large requests are linked with increased positive face support in familiar situations and a decrease in positive face support in low familiarity situations” (p. 475-476). The more familiar a sender is with the receiver when making a large request, the more likely the sender is to rely on positive face. Likewise, Lim (1994) indicates that “‘similarity,’ ‘informality,’ ‘agreement,’ and ‘presupposition’ actually imply, but not directly state, that one approves of the other as a member of an in-group” (p. 215). Treating

someone as a member of an in-group assumes a certain degree of approval. This allows a request to be made without requiring significant support to the other's positive face.

In contrast, criticism, for example, often is seen as a threat to face, both positive and negative. Trees and Manusov (1998) explain the impact of criticism on both types of face. They suggest that criticism effects both positive and negative face. They argue criticism is problematic for positive face "because it jeopardizes both the desire to be respected by potentially calling abilities into question and also the desire to be included by indicating a lack of acceptance in a particular area." Criticism also can threaten negative face through the implication that the action being criticized should be changed or curbed, thus imposing on the autonomy of the hearer." (p. 566)

The context of the communication often determines if face is being threatened or supported. Tracy (1990) argues "communicators need to decide which aspect of another's identity it is appropriate to orient to" (p. 218). For example, when interviewing for jobs, interviewees often will try to find common ground with an interviewer, whether it is in regards to the position, lifestyle, family, or some other area. It appears that "In order for people to achieve their own goals, they must be able to establish and maintain desired identities for each other when they interact.... Getting ahead ordinarily entails getting along, which in turn necessitates sensitivity to the face needs of others" (Cupach & Metts, 1994, p. 15).

Obviously these behavioral prescriptions do not assume a world where all communication practices are meant to support the face needs of others, but that each individual uses certain degrees of facework in every interaction. As Tracy (1990) claims, "These differences in face wants captured in traditional social psychology as individual differences (e.g., self monitoring, reticence), lead people to use different facework strategies

and the same ones with different frequencies” (p. 218). The type of facework used will depend upon the desired outcome, whether it is to maintain face, save face, gain face, restore face, or support face.

Maintaining face is one of the most common aspects of communication. Foregoing any other specific face needs, communicators subconsciously fall into the habits that maintain the status quo. Cupach and Metts (1994) suggest “mutual cooperation in the maintenance of face is so ordinary and pervasive that it is considered a taken-for-granted principle of interaction. People do it automatically...” (p. 4). While this subconscious event takes place at the level of the specific communication, the participants rely upon and continue to reinforce their roles beyond the event. The overall “concern for face focuses the attention of the person on the current activity,” yet in order to preserve face in an activity, he/she must consider his/her “place in the social world (Goffman, 1955, p. 214). Even information that has the potential to increase or decrease face typically is presented in such a manner as to maintain face, with personal “objectives, such as gaining face for oneself, giving free expression to one’s true beliefs, introducing deprecating information about the others or solving problems and performing tasks,...typically pursued in such a way as to be consistent with the maintenance of face” (Goffman, 1955, p. 216).

Although maintaining face may be a subconscious and cooperative effort, saving face often is the conscious result of some kind of face threatening act. Cupach and Metts (1994) maintain, “It is only when some event, action, or comment discredits face that strategies to minimize the occurrence and consequences of face threat come into consciousness” (p. 4). Brown (1968) states that people can ignore a certain amount or level of face threat without losing face, but at a certain point they “...must challenge the offender and seek redress” (p. 108). Thus, many researchers define face saving in terms of the strategies that people employ

to deflect or minimize negative impressions of self by attacking the face of their attacker (Brown, 1968; Tracy, 1990). Brown (1968), for example, argues that face saving strategies most often are apparent in aggressive interchanges and after one's face has been damaged publicly.

Despite this broad statement about when face saving strategies are employed, communicators understand that every interaction is unique. "Each person, subculture, and society," Goffman (1955) claims, "seems to have its own characteristic repertoire of face-saving practices" (p. 216). Responses to face threats are shaped by individual psychology, the type of exchange, societal expectations, and cultural identity. Face threatening interactions can result not only in face saving scenarios but also in the redefinition of relationships. Wilson (1992) calls attention to this process by claiming that "Participants can threaten face via their interaction, but through interaction they also can develop a new 'working consensus' that redefines identities and hence reduces the need to save face" (p. 188). Saving face typically is a corrective action that one has to take on his/her own behalf after enduring a threat to face.

Just as face saving techniques are corrective, face-supporting techniques can be preventative. The idea is that "Corrective practices are what people do after there has been an attack or threat to one party's face.... In contrast to corrective practices are preventative ones: actions people take to avoid and prevent threats to self's or other's face" (Tracy, 1990, p. 214). The concept of face support is one's awareness of and sensitivity to another's face needs. As Ifert and Roloff (1997) argue, "Persons who are sensitive to others' expression should be more aware of the need to acquire more information and address expressed obstacles without attacking the target's face" (p. 57). Although research on face support is not as voluminous as research on other aspects of face, these studies do offer insights into

relationships that may be categorized as superior-subordinate. In a study on the facework between students and professors, Kerssen-Griep (2001) found that students identified the face support that they received as influential on their motivation (p. 24). Additionally, “students reporting face support...clearly valued it...” (Kerssen-Griep, 2001, p. 268). Face support can offer insights into how relationships are developed and maintained.

Facework

Facework encompasses the various strategies and actions people employ to address face needs, whether their own or other's. Generally, facework can be defined as the actions one takes to maintain consistency with his/her face (Wilson, 1992, p. 178). Tracy (1990) explains it best saying, “Whereas face references the socially situated identities people claim or attribute to others, facework references the communicative strategies that are the enactment, support, or challenge of those situated identities” (p. 210). As with most communication, expectations relative to facework depend upon the type of interaction and the parties involved. For example, Lim (1994) states that people with less legitimacy (within an interaction) are expected to use more facework. Looking at facework in the context of the teacher-student interaction, Kerssen-Griep (2001) found that teachers (who typically have a high level of legitimacy) use facework as a means to either encourage or diminish students' self-determination. Facework is intrinsic to communication, although its effects may vary.

Although facework may be a subconscious aspect of communication, it has a significant impact on the parties involved, particularly if the facework does not occur as one or more of the parties is expecting. In fact, Goldsmith (1994) indicates that the “first communication behaviors we recognize as intended to convey support may not, in fact, be helpful...and the effects of negative interactions often have a greater impact than the effects of positive interactions” (p. 29). Her work helps to explain why there are so many

types of face and facework and why some types are perceived as preventative, while others are perceived as corrective. Corrective facework occurs after some type of face threat has taken place and may be offered “defensively” by the person who created the face threat, “protectively” by others who witness the threat, or by the person who lost face as an attempt to regain identity (Cupach & Carson, 2000; Cupach & Metts, 1994).

Whether dealing with a corrective or preventative situation, Lim (1994) identifies three common types of facework: solidarity, approbation and tact (p. 209-212). He suggests that solidarity facework often acts to ensure a certain level of closeness in a relationship, as it helps to “identify members of an “in-group,” employs “informal or intimate language,” and “emphasizes the necessity to cooperate, similarities, shared fate, and mutual trust” (Lim, 1994, p. 212). In contrast, the absence of expected expressions of solidarity may indicate a desire to maintain relational distance (Lim, 1994, p. 209). Approbation facework, on the other hand, addresses the competence of another and is “...characterized by the effort to minimize blame and maximize praise of the other” (Lim, 1994, p. 212). Tact facework supports a person’s need for autonomy by asking for suggestions and using “...pleas and conventional indirectness” (Lim, 1994, p. 212).

As the study of facework grew, Brown and Levinson (1987) developed “politeness theory.” Although politeness theory has its own supporters and retractors, it still belongs to the conceptualization of facework. Trees and Manusov (1998) argued that “Politeness theory presents a comprehensive picture of face as an interpersonal aspect of strategic language use, shaping and being shaped by relationships” (p. 564). This theory assumes that any request threatens face, and as a result, politeness both is expected and is employed to mitigate that face threat. Wilson, Aleman, and Leatham (1998) claim that people use politeness “...to balance their competing desires to be clear about what they want and to support the other

party's face" (p. 64). As such, researchers agree that politeness is a strategy. Brown and Levinson (1987) identify two main categories of politeness theory: indirectness and redressive actions (p. 73). In indirectness, "...the speaker hints to communicate his or her intent implicitly," while in redressive action, "...the speaker uses accounts, compliments, downgrades, and other linguistic forms to minimize threats to the hearer's approval and/or autonomy" (Wilson et al, 1998, p. 67).

While one aspect of politeness theory is the strategy itself, the use of that strategy is driven by the context of the interaction (Trees & Manusov, 1998, p. 567). Much of the research in the area of politeness theory has focused on understanding how the context drives the strategy used. As a result, an explanatory model has been developed to predict "...how three kinds of situational factors (relative social distance, power between communicators, and the size of a face-threatening act) affect selection and usage of conversational strategies and, particularly, the choice of positive or negative politeness" (Tracy & Tracy, 1998, p. 228). The concept of positive and negative politeness also relates to understanding the distinctions between positive and negative face. Carson and Cupach (2000) frame the idea claiming "Requests, suggestions, threats, warnings, compliments, offers, and reminders threaten against negative face. Positive face is threatened by expressions of disapproval, criticism, contempt or ridicule, complaints, and reprimands, accusations, insults..., disagreements, and challenges" (p. 217). So given the types of communication that impact positive face and negative face, how do researchers define positive and negative politeness?

Carson and Cupach (2000) define positive politeness as "...claiming common ground (e.g. similar attitudes, opinions, empathy, etc.), indicating that the listener is admirable, attending to the listener's needs, exaggerating approval, including listener in activities, seeking agreement and avoiding disagreement, joking, and giving gifts" (p. 218). In contrast,

negative politeness supports the hearer's autonomy through self-effacement or deference (Brown & Levinson, 1987; Carson & Cupach, 2000; Trees & Manusov, 1998). But there are other politeness strategies that also may be employed when communicating a face-threat. As a result, positive and negative politeness are two of the five super-strategies of politeness theory. In addition to positive and negative politeness, the "politeness continuum" includes bald-on record messages, off-the-record strategies, and avoidance. Trees and Manusov (1998) capture the definitions when they write that "Bald-on-record messages are unambiguous with no apparent strategies to save face," while "off-the-record strategies communicate the FTA in an ambiguous manner" (pp. 566-567). Thus, different strategies may be employed, depending upon the context of the communication. While context drives the strategy that may be employed, the context often is driven by the face-threatening act itself.

Threats to face come in many forms. Often, whether an act is face-threatening or not depends on the culture of the hearer. Wilson (1992) identified four areas where culture impacts face threats: speech acts perceived differently, distinctions based on assessing the magnitude of the face threat, desire for approval by others, and identifying the special rights of others that deserve face protective measures (p. 197). In addition to cultural impacts, other researchers suggest that "...many speech acts intrinsically are face-threatening acts (FTAs), meaning that by definition they run contrary to the face wants of the speaker or hearer" (Wilson et al., 1998, p. 66). So does this mean that all FTAs are recognized by the speaker before they occur? According to Tracy and Tracy (1998), FTAs may occur by accident or on purpose. As such, they have identified three levels of responsibility when it comes to FTAs. These authors maintain that "threats can arise from innocent actions such as a faux pas or verbal gaffe,...as a result of a person pursuing a particular course of action," and from "personal maliciousness and spite." (Tracy & Tracy, 1998, p. 226). Regardless of how a

researcher defines FTAs, the impact of an FTA depends on the strategies employed (both before and after the FTA occurs), the context of the communication, and the relationship between the parties involved. As Goldsmith (1994) maintains, “Committing a face-threatening act may result in repair (e.g., apologies, excuses) but more often, we design our messages to avoid offending others’ face” (p. 31). Keeping in mind that facework typically occurs subconsciously, it is pertinent to understand the role that relationships play in face-threatening communication.

The relationship between the speaker and the hearer has a significant impact on a face-threatening act and how the hearer interprets the act. Goldsmith (1994), following the lead of Brown and Levinson (1987), addressed the impact of relationship on FTAs. He suggested that “The face threat of an act may be mitigated or aggravated by social distance between speaker and hearer” and by “power discrepancy between speaker and hearer” (p. 30). Lim (1994) also addressed relationships and FTAs but added the factor “domain of tolerance” (p. 224). Lim (1994) suggests that when an FTA falls within this domain of tolerance, the hearer will tolerate the FTA, depending on the nature of the relationship. In contrast, if the FTA falls outside the domain of tolerance, the hearer will react negatively, no matter what the nature of the relationship is (Lim, 1994). Given the impact of relationships, much research has been conducted to understand how different types of relationships impact facework. Of particular interest to this study is previous research on employee relationships.

Facework in the Workplace

Employee relationships, particularly those between superiors and subordinates, experience different facework and face threats than other types of relationships. Although there are not many studies specific to facework that explore the relationship between superiors and subordinates, there are a few that have had significant findings and that pave the way for

other like-minded studies. Wilson et al. (1998) found that there is a larger perceived threat to face when trying to influence a supervisor "...because organizational superiors/subordinates are characterized by greater social distance and status difference..." (p. 91). Likewise, position within the superior/subordinate relationship can drive one's claim to face. Lim (1994) argues that "Superiors across cultures are endowed with more legitimacy to ignore subordinates' face wants, and subordinates generally believe that it is their virtue not to claim too much face" (p. 219). Given the social and status differences that exist between superiors and subordinates, there is an underlying current in superior/subordinate communication that impacts how both parties perceive the communication. Leichty and Applegate (1991) found that "...speakers provided less autonomy and positive face redress when they had more power" (p. 475). Although a superior may not intend a communication as face threatening, it can be perceived as such simply because of the pre-existing status differences that act as a foundation to the superior/subordinate relationship.

Carson and Cupach (2000) researched how managers' communication affects employees' face and had several key findings. First, they found that employees interpret denial of requests in much the same way that they interpret reproaches because both situations threaten face (Carson & Cupach, 2000). Not surprisingly, they also found that reproaches tend to lead to employee anger. If a manager does not take the employee's face needs into consideration when reproaching, s/he can cause alienation and anger. These authors claim that the "more face-threatening reproaches are associated with greater perceptions of managerial unfairness, lower perceptions of managerial communication competence, less satisfaction with incident outcome, and more anger" (Carson & Cupach, 2000, p. 229). Similarly, Wilson (1992) also found in his study that "...participants who receive personal criticism feel more affronted, more insulted, and less powerful than do those who are not

criticized” (p. 181). As a result of these kinds of findings, Carson and Cupach (2000) make several suggestions for managers. These include “...weigh(ing) the importance of correcting the employee behavior against the desire to maintain a positive working relationship with the employee and the need to avoid threatening the employee’s face” (pp. 215-216) and to “...correct employees in a straight forward manner that validates the employee’s overall competence and allows the employee to rectify problems autonomously” (p. 230).

Some superior-subordinate communication is inherently face threatening, requiring the subordinate to employ many facework strategies. According to Waldron (1991), upward communication is “...inherently threatening, and the context of such communication (e.g., performance reports, suggestions for change, protests, complaints) can greatly influence how the subordinate is perceived by powerful others” (p. 303). Finally, the use of facework is not limited to subordinates. Tjosvold (1985) found that “superiors in a cooperative context expected to help, gave assistance..., communicated supportively..., interacted constructively, and developed positive attitudes toward the subordinate” (p. 290). In order to provide these various functions in an effective manner, the superior would need to employ facework so as not to offend the subordinate receiving them, regardless of the subordinates in-group or out-group designation. The triangulation of these three areas of research is ripe for development.

Rationale

Consolidating LMX and facework theories can offer a more powerful means to examine superior-subordinate communication dynamics. LMX research proposes that employees who perceive they are part of the in-group enjoy high quality LMX relationships. Facework scholarship demonstrates that those relationships may be predicated upon the skilled use of facework by their superiors. Conversely, out-group employees who experience low-quality LMX relationships may perceive their superiors use facework less skillfully.

Exploring relationships among superiors' perceived facework qualities, the types of maintenance tactics employed by subordinates (personal, contractual, direct, and regulative), their levels of affect, loyalty, contribution, and professional respect, and their in-group or out-group perceptions should illuminate how facework might augment LMX explanations of the superior-subordinate dynamic.

Given existing research on in-group and out-group dynamics and how those dynamics already have been tied to both LMX and upward maintenance tactics used by the subordinate (Basu & Green, 1995; Dienesch & Liden, 1986; Fairhurst & Chandler, 1989; Krone, 1991; Waldron, 1991), hypotheses 1 through 5 were proposed to test predicted relationships between perceived in-group status and high-quality LMX, and between perceived in-group status and the various maintenance tactics (personal, contractual, direct, and regulative) used by the subordinate:

H1: Subordinates' perceptions of their own in-group status (self report of high levels of trust, interaction, support, and rewards) will correlate positively with their perceptions of high-quality LMX.

H2: Subordinates' perceptions of their own in-group status (self report of high levels of trust, interaction, support, and rewards) will correlate positively with subordinates' reported use of personal maintenance tactics.

H3: Subordinates' perceptions of their own in-group status (self report of high levels of trust, interaction, support, and rewards) will correlate positively with subordinates' reported use of contractual maintenance tactics.

H4: Subordinates' perceptions of their own in-group status (self report of high levels of trust, interaction, support, and rewards) will correlate positively with subordinates' reported use of direct maintenance tactics.

H5: Subordinates' perceptions of their own in-group status (self report of high levels of trust, interaction, support, and rewards) will correlate negatively with subordinates' use of regulative maintenance tactics.

Hypothesis 6 was proposed to test the predicted relationship between perceived face support skills and LMX. The expectation is that the research will uncover a positive correlation between perceived use of face support skills being used by managers occurring in an LMX relationship that the subordinate also perceives as being of high quality:

H6: Subordinates' perceptions of their superior's face support skills (tact, approbation, and solidarity) will correlate positively with their perceptions of high-quality LMX (affect, loyalty, contribution, and professional respect) with that superior.

Hypotheses 7 through 10 were proposed to test the predicted relationships between perceived face support skills used by the supervisor and the corresponding maintenance tactics employed by the subordinate. The expectation here is that when employees perceive the use of positive face by their supervisor and a high-quality LMX relationship, the employees will use more frequently the upward maintenance tactics labeled personal, contractual, and direct:

H7: Subordinates' perceptions of their superior's face support skills (tact, approbation, and solidarity) will correlate positively with subordinates' reported use of personal maintenance tactics with that superior.

H8: Subordinates' perceptions of their superior's face support skills (tact, approbation, and solidarity) will correlate positively with subordinates' reported use of contractual maintenance tactics with that superior.

H9: Subordinates' perceptions of their superior's face support skills (tact, approbation, and solidarity) will correlate positively with subordinates' reported use of direct maintenance tactics.

H10: Subordinates' perceptions of their superior's face support skills (tact, approbation, and solidarity) will correlate negatively with subordinates' reported use of regulative maintenance tactics.

Finally, Hypothesis 11 is proposed to draw a final linkage between face support and LMX. The expectation is that a subordinate who perceives that his/her superior uses face support skills will also perceive that he/she is part of the superior's in-group and therefore receives high levels of trust, interaction, support, and rewards from that supervisor.

H11: Subordinates' perceptions of their superior's face support skills (tact, approbation, and solidarity) will correlate positively with subordinates' perceptions of their in-group status (self report of high levels of trust, interaction, support, and rewards).

Methods

Participants

The researcher obtained approval from a large, western financial services company to administer the survey within a medium sized department. One-hundred and fifty-eight surveys were sent to department members, both superiors and subordinates, with a response

rate of 31 percent (49 completed surveys received). These employees were spread across a large, multi-state region, with some employees working in different locations than their managers and others working in the same locations. All respondents were requested to respond to the survey based on their perceptions of the relationship and communication patterns with their immediate supervisor. Supervisors were not requested to provide their perception of the downward communication or relationship.

Of the respondents, 13 were male, 30 were female, and six did not provide their gender. Eight percent had been employed at the company for less than a year; 39% had been employed for one to five years, 22% had been employed for six to 10 years, and 31% had been employed with the company for more than 10 years. Eighteen percent had worked for their current supervisors for less than six months, 27% for six months to a year, 49% for between one and three years, and 6% for more than three years. Fifty-three percent reported their manager's gender as male, with the remaining 47 percent reporting their manager's gender as female. Additionally, 55% of respondents identified that they were the same gender as their manager, 33% identified that they were a different gender than their manager, and 12% did not provide their own gender (but did provide their manager's gender). Seventeen respondents (35%) indicated that they worked in the same location as their managers, with 32 (65%) indicating that they worked at a different geographic location.

Measures

Participants were surveyed using a questionnaire compiled from published resources (see Appendix A). Facework perceptions were assessed using Kerssen-Griep et al (2003) instructional face-support scale. Wording of the survey was adapted to have the employee consider the degree to which each statement describes his/her communication with the manager, whereas Kerssen-Griep, Hess, and Trees instructed students to consider the

statements relative to their instructor's written and in-class evaluations of their speeches.

Kerssen-Griep, Hess, and Trees's scale was found reliable for measuring facework, with a tact $\alpha = .74$, approbation $\alpha = .71$, and solidarity $\alpha = .86$. The current study found reliability for measuring facework, with a tact $\alpha = .81$ (when excluding question 6: "Leaves you without a choice about how to respond to an evaluation"), solidarity $\alpha = .85$, approbation $\alpha = .83$, and a total facework scale reliability $\alpha = .93$.

LMX perceptions were solicited using survey questions from Liden and Maslyn's (1998) LMX study. Liden and Maslyn (1998) found reliable Cronbach's alpha scores of .90, .78, .60, and .92, respectively, for affect, loyalty, contribution, and professional respect for the organizational employee samples. The current study found reliability for affect, loyalty and professional respect ($\alpha = .91$, .91, and .88 respectively). The contribution subscale (two questions) did not achieve adequate reliability as a standalone component so was excluded from all subsequent subscale analyses. The LMX scale as a whole (including affect, loyalty, contribution, and professional respect questions) was reliable, Cronbach's $\alpha = .91$.

Waldron's (1991) measure of upward maintenance tactics in superior-subordinate relationships was used to solicit that information in the present study. This portion of the scale includes 51 Likert-type items, with the respondents asked to rate the extent to which each item describes how the employee behaves towards their current manager. Alpha reliabilities from Waldron's (1991) study for the four upward maintenance tactics were .79 for personal, .72 for contractual, .66 for regulative, and .72 for directness (p. 299). The current study found reliabilities for the upward maintenance tactics of $\alpha = .87$ for personal, $\alpha = .75$ for contractual, $\alpha = .67$ for regulative (when excluding questions 53, 69, and 73), and $\alpha = .70$ for direct (when excluding questions 46 and 76).

Finally, using Dienesch and Liden's (1986) study as a guide, a self-report question was developed based on a semantic differential scale indicating low-to-high levels of trust. The question used Dienesch and Liden's (1986) definitions of high and low levels of trust, interaction, support and rewards to determine the employee's perception of in-group or out-group status. Reliability for this self-report could not be determined since it was a single-item scale.

Finally, demographic information also was collected. This includes self-reporting of the employee's gender, their supervisor's gender, length of employment with the company, length of time reporting to their current supervisor, and whether the employee and supervisor were physically located in the same office building.

Procedures

Human subjects' clearance was obtained for the study. The researcher also obtained approval from a large, Western financial services company to administer the survey within a medium-sized department at that company. Surveys were mailed with cover letters to 158 employees, assuring them anonymity, along with pre-addressed envelopes for returning completed surveys. Forty-nine completed surveys were returned for analysis.

Results

Hypothesis One

Hypothesis One predicted that perceptions of in-group status would correlate positively with reports of high-quality LMX. In-group reporting scores showed a positive correlation with overall LMX scores, $r = .78, p < .01$. In breaking LMX down to its various components, positive correlations were significant. Loyalty, affect, and professional respect all showed positive individual correlations with in-group status (loyalty: $r = .76, p < .01$; affect: $r = .69, p < .01$; professional respect: $r = .66, p < .01$).

Hypotheses Two to Five

Hypotheses 2 through 5 predicted positive correlations between reported in-group status and the personal (H2), contractual (H3), and direct (H4) maintenance tactics, and a negative correlation with regulative maintenance tactics (H5). This group of hypotheses showed slightly mixed results. H2 was supported with in-group status showing a positive correlation to personal maintenance tactics, $r = .42, p < .01$. H3 approached significance with the predicted positive correlation between in-group status and contractual maintenance tactics, $r = .28, p = .052$. H4 was supported with in-group status showing a significant, positive correlation with direct maintenance tactics, $r = .38, p < .01$. Finally, H5 was not supported, although results did approach the significant negative correlation predicted between in-group status and regulative maintenance tactics, $r = -.26, p = .07$.

[Insert Table 1 About Here]

Hypothesis 6

Hypothesis 6 predicted a correlation between high levels of perceived face support and high quality LMX. This hypothesis was supported, as strong and significant positive correlations were found between face support and LMX scores, $r = .84, p < .01$. Significant correlations also were found between each type of perceived face support (tact, solidarity, and approbation) and each measured sub-component of LMX, including loyalty, affect, and professional respect (see Table 1).

Hypotheses Seven to Ten

Hypotheses 7, 8, and 9 predicted positive correlations between perceived supervisory face support and personal, contractual, and direct maintenance tactics, while Hypothesis 10 predicted a negative correlation between perceived supervisory face support and regulative maintenance tactics. H7 was supported, with a significant correlation between face support

and personal maintenance tactics, $r = .38, p < .01$. Similarly, all types of face support showed significant, positive correlations with personal maintenance tactics (tact: $r = .33, p < .01$; solidarity: $r = .34, p < .01$; approbation: $r = .38, p < .01$).

Hypothesis Eight was not supported. Although positive correlations were found between contractual maintenance tactics and face support, they did not achieve a level of significance, ($r = .20, p = .16$). Similarly, none of the types of face support achieved significant correlations with contractual maintenance tactics.

Hypothesis Nine was supported, with face support showing a significant, positive correlation to direct maintenance tactics ($r = .43, p < .01$). Similar to the personal maintenance results, all of the types of face support showed significance to direct maintenance tactics, as well (tact: $r = .38, p < .01$; solidarity: $r = .47, p < .01$; approbation: $r = .34, p < .05$).

Hypothesis Ten approached significance, with perceived face support showing the predicted the predicted negative correlation with regulative maintenance behaviors, $r = -.28, p = .06$. Perceived supervisory tact was the only type of facework to achieve the predicted significant negative correlation with regulative maintenance scores, $r = -.39, p < .01$.

Hypothesis Eleven

Hypothesis 11 predicted a positive correlation between in-group status and positive face support. This correlation was supported, ($r = .82, p < .01$). In-group status also showed strong positive correlations with perceived supervisory tact ($r = .70, p < .01$), solidarity ($r = .76, p < .01$), and approbation facework ($r = .81, p < .01$).

Discussion

This study set out to explore the correlations among perceived supervisory face support received, LMX and in-group status, and the kinds of upward maintenance tactics used by employees. The expectation was that facework might play an important role in shaping the

perceptions predicted by LMX. In particular, it was expected that how well superiors employed face support would impact the establishment of the leader-member dynamic, which in turn would affect how the subordinate chooses upward communication tactics.

Results support most of these predicted relationships, with significant, positive correlations found between face support and high-quality LMX, face support and perceptions of in-group status, and high-quality LMX and perceptions of in-group status. In looking at the maintenance tactics used by employees when communicating with their supervisors, perceptions of in-group status and face support illustrated very similar relations to the various maintenance tactics. In-group status and face support both showed significant, positive correlations with personal and direct maintenance tactics, with very similar r values. In terms of contractual maintenance, neither face support nor in-group status showed significance, although they both showed a positive correlation. Finally, regulative maintenance tactics showed negative correlations with both face support and in-group status, but both only approached significance.

The significant correlations found between all types of face support and all types of LMX (excluding contribution) suggest a deeper relationship between face support and LMX than may have been explored previously. These results indicate that a superior's effective use of facework may help establish the baseline of communication expectations in the leader-member dyad. The setting of this expectation, in turn, affects whether a subordinate perceives that he or she is a member of the in-group and helps determine the quality of the LMX relationship. This appears to be supported further by the similar positive correlations found between in-group and face (all types) and in-group and LMX (loyalty, affect, and professional respect). Again, the likeness between these significant, positive correlations between in-group

and facework and in-group and LMX suggest a “baseline” or underlying relationship between facework and the establishment of the leader-member dyad.

The correlations of maintenance tactics to facework and LMX presented some interesting findings. Lee (1998) indicated that in a high quality relationship, the subordinate may perceive that there is less risk in communicating feelings or discussing issues. As such, this study found that the use of personal maintenance tactics by the employee correspond positively and significantly with all areas of face support (full scale, tact, solidarity, and approbation), as well as with LMX (full scale, loyalty, affect, and professional respect). Contractual maintenance tactics failed to show any significant correlations with face support, but it did show significant correlations with some aspects of LMX (full scale, affect, and professional respect).

Dienesch and Liden (1986) defined loyalty as the “expression of public support for the goals and personal character of the other...” (p. 624). This may help explain why both loyalty and face support failed to show significant correlations to contractual maintenance. Since contractual maintenance includes conformity to role requirements and expectations (Lee, 1998), this seems to vary enough from the definition of loyalty to help explain why contractual maintenance failed to show significance correlations with both loyalty and face support. In fact, given the definition of loyalty, there may be stronger similarities between face support and the loyalty aspect of LMX, which are not made obvious by this study.

Regulative maintenance tactics did not show significant correlations with any areas of LMX and only showed a significant, negative correlation in relation to the tact type of face support. Waldron (1991) indicated, “Regulative tactics appear to protect self...” (p. 301), and Lee and Jablin (1995) found that regulative tactics tend to be used in low-quality relationships. Considering these previous studies in conjunction with the current finds, this

suggests that the more “tactful” a supervisor is in communicating with an employee, the less likely that employee will be to use regulative maintenance tactics. Finally, direct maintenance tactics showed similar results with LMX and facework. In both cases, positive and significant correlations were found between face support (full scale, tact, solidarity, and approbation) and LMX (full scale, loyalty, affect, and professional respect).

Effects Associated with Facework Types

Allinson et al (2001) found that in-group/out-group status is established quickly and typically remains consistent throughout the leader-member relationship. This study’s findings suggest that facework could play a key role in that initial establishment of in-group/out-group status. The positive and significant correlations between face support (tact, solidarity, and approbation) and LMX (loyalty, affect, and professional respect) suggest that the manager’s effective use of facework with a subordinate may impact the perception of high quality LMX. Similarly, the significant and positive correlations between employees’ perceptions of in-group status and face support further support the importance of face support in shaping employees’ perceptions about the leader-member dyad.

Face support and LMX showed similar relationships with personal maintenance tactics and direct maintenance tactics. Unexpectedly, though, face support and LMX showed some differences in relation to contractual and regulative maintenance tactics. Face support failed to show a significant correlation with contractual maintenance, while LMX did show a significant, positive correlation. This difference between LMX and face support could be explained by the fact that contractual maintenance tactics have to do with conforming to role requirements (Lee, 1998).

Neither face support nor LMX showed a significant correlation with regulative maintenance tactics; however face support did show the expected negative correlation without

achieving a level of significance. Given that regulative maintenance tactics include avoidance and indirect conversational refocus (Lee & Jablin, 1995) while face support is about awareness of and sensitivity to another's face needs (Ifert & Roloff, 1997), the negative correlation between regulative maintenance tactics and face support makes sense, even if it is not a significant correlation.

Implications for Supervisory Communication and Relationships

The results of this study suggest a strong relationship between perceived supervisory facework, LMX/in-group status, and employees' upward maintenance tactics. Such findings have interesting implications for how supervisors communicate and develop relationships with their staff. Since in-group / out-group status is determined very early in the working relationship, it may be important for supervisors to understand how to employ various types of facework, especially tact. Utilizing facework early in the relationship may help establish high-quality LMX. Employed consistently when bringing new staff on board, it also may help establish feelings of in-group across the team. This may help to limit feelings of unfairness or inequity across the team. If more or all members of the staff feel like part of the in-group, it also may result in better performance, due to positive attitudes, conforming to work rules, and exceeding expectations (Waldron, 1991). It also may be important to explore any role gender might play in how employees interpret and encode face-threat and face-support in communication with their supervisors.

Limitations

This study relied on the perceptions of the employee. The employee provided their perceptions of the facework used by their manager, the quality of their workplace LMX and in-group status, and how they communicated with their manager. Future studies may want to obtain feedback from both the employee and the manager to determine if perceptions of their

communication patterns match. Identifying differences in perception of the effectiveness of the communication could provide insight to managers for how to better communicate with their staff and achieve a true feeling of in-group across their entire staff.

Another limitation of the study was that although the overall LMX measure behaved reliably, the LMX contribution component was not measurable here in a statistically reliable way. Assessing contribution differently in future studies may allow researchers to better explore this dimension of LMX.

Future research also should examine more diverse industries and departments in different locales to determine the consistency of the relationships found here among facework, LMX/in-group, and employees' upward maintenance tactics.

Conclusion

By looking at superior-subordinate communication in the context of both facework and LMX, relationships have been identified that expand upon previous findings that focused solely on LMX and in-group status. The results of this study confirmed most of the hypotheses set forth, setting the stage for future research to explore how face support might function as a primary communicative means to improve the quality of the leader-member dyad in the workplace. The current study also suggests that supervisors who effectively employ face support, and in particular tact, are more likely to have employees perceive a higher-quality LMX relationship and thus report feeling like a member of the in-group. The effective use of tact by the supervisor also makes it less likely that employees will utilize less desirable contractual and regulative maintenance tactics at work.

Understanding how face support can be used to establish a strong leader-member dyad can be useful to supervisors as they hire new employees and help establish them within the larger team dynamic. The results of this study, when considered in the context of previous

LMX research, suggests that the effective use of facework can help a manager shape perceptions of in-groupness within the team. Waldron (1991) found that in-group members are more likely to have positive attitudes, to conform to rules, and to exceed expectations, and Sias and Jablin (1995) found that employees who perceived themselves to be members of the in-group also "...perceived less inequity with respect to pay, work rules, and workspace." (p. 8). Considering these previous findings with the current results suggests that establishing a full team that feels like part of the in-group should result in improved performance, a staff that exceeds expectations, and higher feelings of fairness. Future studies may benefit from obtaining additional information from the manager, by further exploring the affects of the manager's gender, and by collecting employee performance information in order to determine if strong facework leads to high in-group reports and improved performance by the team.

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Appendix A

Table 1: Correlations Among Face Support, LMX, and Maintenance Tactics

	M	SD	1	2	3	4	5	6
1. Face: Full Scale	76.8	16.1						
2. Face: Tact	22.3	5.0	.87**					
3. Face: Solidarity	26.1	6.6	.94**	.71**				
4. Face: Approbation	28.4	5.9	.94**	.73**	.85**			
5. LMX: Full Scale	60.8	12.1	.84**	.65**	.77**	.88**		
6. LMX: Loyalty	16.3	4.5	.78**	.62**	.73**	.80**	.87**	
7. LMX: Affect	16.2	4.3	.74**	.58**	.70**	.75**	.89**	.62**
8. LMX: Contribution	11.6	2.0	.14	.15	.07	.18	.36*	.22
9. LMX: Professional Respect	16.7	4.1	.76**	.59**	.69**	.85**	.89**	.70**
10. Personal Maintenance	53.8	14.0	.38**	.33*	.34*	.38**	.58**	.42**
11. Contractual Maintenance	108.5	10.0	.20	.06	.23	.25	.43**	.28
12. Regulative Maintenance	40.9	8.5	-.28	-.39**	-.21	-.20	.04	-.16
13. Direct Maintenance	23.2	5.5	.43**	.38**	.47**	.34*	.44**	.44**
14. In-Group	5.2	1.9	.82**	.70**	.76**	.81**	.78**	.76**

(table continues)

	7	8	9	10	11	12	13	14
1. Face: Full Scale								
2. Face: Tact								
3. Face: Solidarity								
4. Face: Approbation								
5. LMX: Full Scale								
6. LMX: Loyalty								
7. LMX: Affect								
8. LMX: Contribution	.23 .11							
9. LMX: Professional Respect	.79** .00	.07 .63						
10. Personal Maintenance	.65** .00	.16 .27	.48** .00					
11. Contractual Maintenance	.42** .00	.14 .34	.45** .00	.28 .053				
12. Regulative Maintenance	.10 .51	.11 .45	.14 .34	.09 .56	.53** .00			
13. Direct Maintenance	.43** .00	.05 .75	.34* .02	.59** .00	.37** .008	.09 .96		
14. In-Group	.69** .00	.19 .19	.66** .00	.42** .00	.28 .052	-.26 .07	.38** .006	

Note. Mean scores are averages across each scale. The range for each instrument was 1-7 for all scales.

* p < .05 **p < .01

Appendix B

As you complete the following section, think about your communication with your manager. Please indicate to what degree (1 = not at all; 7 = very much) your manager does each of the following....

	Not at all						Very much
	1	2	3	4	5	6	7
Works to avoid making you look bad.	1	2	3	4	5	6	7
Leaves you free to choose how to respond.	1	2	3	4	5	6	7
Makes sure that s/he doesn't cast you in a negative light.	1	2	3	4	5	6	7
Seems unconcerned about your feelings.	1	2	3	4	5	6	7
Lets you know that s/he thinks highly of you.	1	2	3	4	5	6	7
Leaves you without a choice about how to respond to an evaluation.	1	2	3	4	5	6	7
Shows understanding.	1	2	3	4	5	6	7
Sounds like s/he disapproves of you.	1	2	3	4	5	6	7
Makes you feel pushed into agreeing with his/her suggestions.	1	2	3	4	5	6	7
Shows that s/he cares about your work experience.	1	2	3	4	5	6	7
Expresses blunt criticism of some of your abilities.	1	2	3	4	5	6	7
Makes you feel like you can choose how to respond to feedback.	1	2	3	4	5	6	7
Makes you feel like an important member of the team.	1	2	3	4	5	6	7
Makes it hard for you to propose your own ideas in light of his/her feedback.	1	2	3	4	5	6	7
Seems attentive to you as an individual.	1	2	3	4	5	6	7

Think about your relationship with your manager as you review the statements below. For each statement, circle the numeric value that corresponds with the degree to which you agree (1 = strongly disagree; 7 = strongly agree) with each.

	Strongly Disagree						Strongly Agree
	1	2	3	4	5	6	7
I like my supervisor very much as a person.	1	2	3	4	5	6	7
My supervisor is the kind of person one would like to have as a friend.	1	2	3	4	5	6	7
My supervisor is a lot of fun to work with.	1	2	3	4	5	6	7
My supervisor defends my work actions to a superior, even without complete knowledge of the issue in question.	1	2	3	4	5	6	7
My supervisor would come to my defense if I were "attacked" by others.	1	2	3	4	5	6	7

	Strongly Disagree						Strongly Agree
	1	2	3	4	5	6	7
My supervisor would defend me to others in the organization if I made an honest mistake.	1	2	3	4	5	6	7
I do work for my supervisor that goes beyond what is specified in my job description.	1	2	3	4	5	6	7
I am willing to apply extra efforts beyond those normally required, to further the interests of my work group.	1	2	3	4	5	6	7
I am impressed with my supervisor's knowledge of his/her job.	1	2	3	4	5	6	7
I respect my supervisor's knowledge of and competence on the job.	1	2	3	4	5	6	7
I admire my supervisor's professional skills.	1	2	3	4	5	6	7

Below are descriptions of things people might do to maintain their relationships with their managers. Consider the extent to which each item describes how you currently behave toward your manager by indicating your level of agreement with each statement (1 = strongly disagree; 7 = strongly agree).

	Strongly Disagree						Strongly Agree
	1	2	3	4	5	6	7
Make sure I have a clear understanding of what my supervisor thinks my responsibilities are.	1	2	3	4	5	6	7
Don't take his/her criticism too seriously.	1	2	3	4	5	6	7
Am honest in everything I say to him/her.	1	2	3	4	5	6	7
Frequently engage him/her in small talk.	1	2	3	4	5	6	7
Remain polite toward him/her.	1	2	3	4	5	6	7
Explicitly tell him/her how I expect to be treated at work.	1	2	3	4	5	6	7
Schedule meetings with him/her to discuss work issues.	1	2	3	4	5	6	7
Keep his/her secrets confidential.	1	2	3	4	5	6	7
Talk with him/her frequently even when I have nothing important to discuss.	1	2	3	4	5	6	7
Ask about his/her personal life.	1	2	3	4	5	6	7
Make sure I can be reached (in person or by phone) by him/her much of the time.	1	2	3	4	5	6	7
Sometimes stretch the truth to avoid problems with him/her.	1	2	3	4	5	6	7
Ask for his/her advice on work-related matters.	1	2	3	4	5	6	7

	Strongly Disagree						Strongly Agree
	1	2	3	4	5	6	7
Avoid surprising him/her.	1	2	3	4	5	6	7
Make it known when I am unhappy about something at work.	1	2	3	4	5	6	7
Provide evidence to him/her that I am a good employee.	1	2	3	4	5	6	7
Appear enthusiastic even if I am not.	1	2	3	4	5	6	7
Always stick by agreements we have made.	1	2	3	4	5	6	7
Avoid the expression of extreme negative emotion toward him/her.	1	2	3	4	5	6	7
Document discussions with him/her.	1	2	3	4	5	6	7
Share jokes or amusing stories with him/her.	1	2	3	4	5	6	7
Ignore his/her mood swings.	1	2	3	4	5	6	7
Respond with a positive attitude when he/she asks me to do something.	1	2	3	4	5	6	7
Avoid discussing my personal life with him/her.	1	2	3	4	5	6	7
Treat him/her like a friend.	1	2	3	4	5	6	7
Frequently offer my opinions.	1	2	3	4	5	6	7
Try to avoid asking for direction from him/her.	1	2	3	4	5	6	7
Overlook his/her comments which might change our relationship for the worse.	1	2	3	4	5	6	7
Avoid embarrassing him/her.	1	2	3	4	5	6	7
Follow organizational rules as closely as possible to avoid problems with him/her.	1	2	3	4	5	6	7
Avoid appearing too ambitious when we talk.	1	2	3	4	5	6	7
Compliment him/her frequently.	1	2	3	4	5	6	7
Talk about our past experiences that we have shared.	1	2	3	4	5	6	7
Am certain to follow his/her suggestions for doing the work.	1	2	3	4	5	6	7
Avoid delivering bad news to him/her	1	2	3	4	5	6	7
Encourage him/her to discuss problems of being a supervisor.	1	2	3	4	5	6	7
Make sure supervisor is in a good mood before discussing important work-related problems.	1	2	3	4	5	6	7
Ask about his/her views on the organization we work for.	1	2	3	4	5	6	7

	Strongly Disagree						Strongly Agree
	1	2	3	4	5	6	7
Avoid the expression of extreme positive emotions (e.g., happiness) in his/her presence.	1	2	3	4	5	6	7
Share my future career plans with him/her.	1	2	3	4	5	6	7
Ask for his/her help even when I really don't need it.	1	2	3	4	5	6	7
Am sure to follow the rules he/she has established.	1	2	3	4	5	6	7
Talk only superficially with him/her.	1	2	3	4	5	6	7
Accept criticism from him/her.	1	2	3	4	5	6	7
Avoid conflicts with him/her.	1	2	3	4	5	6	7
Give my supervisor some of the credit when I do a good job.	1	2	3	4	5	6	7
Share my frustration with co-workers rather than with him/her.	1	2	3	4	5	6	7
Avoid direct criticism of him/her.	1	2	3	4	5	6	7
Make a point to interact with him or her at social gatherings (e.g., company parties)	1	2	3	4	5	6	7
Speak up when I feel he/she has treated me unjustly.	1	2	3	4	5	6	7
Help my supervisor by influencing other employees in a positive way.	1	2	3	4	5	6	7
Discuss openly any problems in my relationship with him/her.	1	2	3	4	5	6	7
Make sure he/she knows when I have been successful.	1	2	3	4	5	6	7

Relationships between managers and team members are characterized by varying levels of trust, interaction, support, and formal and informal rewards. On the scale below, please indicate how you would rank your relationship with your manager relative to these characteristics (1 = low levels of trust, interaction, support, and rewards; 7 = high levels of trust, interaction, support, and rewards).

	Low Trust, Inter-Action, Support, Rewards				High Trust, Inter-Action, Support Rewards			
	1	2	3	4	5	6	7	
Gender:					Male	Female		
Length of employment with Wells Fargo:					< 1 year	1 – 5 years	6 – 10 years	> 10 years
Length of time reporting to current manager:					< 6 months	6 mos – 1 year	1 – 3 years	> 3 years
Manager's Gender:					Male	Female		
Do you work in the same office building as your manager?					Yes	No		

Appendix C

Letter of Introduction/Consent

The purpose of the attached survey is to provide data about employees' perceptions of their relationships with and communication with their managers. As such, it will serve as the basis for a research project that I am working on for the University of Portland in order to complete my graduate thesis.

Participation involves completing the attached survey and returning it to me in the provided, pre-addressed envelope. Your confidentiality and anonymity will be protected.

There is no direct benefit to you from participating in this study, but I hope to gain a better understanding of how employees communicate with and perceive their relationships with their managers.

By completing and returning the enclosed survey to me, you consent to participate in this study. You can choose not to participate, without any penalty, simply by not returning the completed survey to me.

Please return your survey to me in the provided envelope no later than **Wednesday, June 2, 2004**. I look forward to your response.

If you have any questions regarding this study, please feel free to contact me at (760) 804-5569 between the hours of 8 a.m. and 5 p.m. PDT (Monday through Friday).

Thank you in advance for your participation.

Sincerely,

Libby Chrouser
Consumer Credit Group Project Management/
University of Portland

Thesis Author Statement of Understanding

Title of thesis: Superior-Subordinate Communication Through the Bi-focal Lens of Leader-Member Exchange and Facework

Name of Author: Olivia Chrouser

Degree: Master of Science (Organizational Communication)

Program/College: Communications / Arts + Sciences

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